



## JUDICIAL INFORMATION SYSTEM COMMITTEE (JISC)

**FRIDAY, OCTOBER 7, 2011 9:00 A.M. – 3:00 P.M.**

**CALL IN NUMBER** 360-704-4103

**SEATAC FACILITY**, 18000 PACIFIC HIGHWAY SOUTH, SUITE 1106, SEATTLE, WA 98188

LUNCH WILL BE PROVIDED

1.	<b>Call to Order</b> <b>Introductions</b> <b>Approval of Minutes</b>	Justice Mary Fairhurst	9:00 – 9:05	Tab 1
2.	<b>Budget Update</b> <ul style="list-style-type: none"> <li>• Economic Revenue Forecast</li> <li>• 11-13 New ISD Budget Allocation</li> </ul>	Mr. Ramsey Radwan MSD Director	9:10 – 10:00	Tab 2
3.	<b>JISC Bylaw Amendment – Information/Brief Discussion</b> <ul style="list-style-type: none"> <li>• JISC Comment to BJA on Pending Legislation (from March 4<sup>th</sup> meeting)</li> </ul>	Vicky Marin, Business Liaison	10:00 – 10:10	Tab 3
	<b>Break</b>		10:10 – 10:25	
4.	<b>JIS Policy on Implementing Local Court Record Systems – Need high-level direction on the following issues:</b> <ol style="list-style-type: none"> <li>1. Costs/Responsibilities – Who pays? – Local vs. JIS</li> <li>2. Which System is Official Court Record? Statewide database vs. local system</li> <li>3. Recourse if court does not agree with AOC interpretation</li> </ol> <b>Spokane Municipal Request for Local Case Management System – Informational</b> <ol style="list-style-type: none"> <li>4. Response to Judge Logan</li> </ol>	Linda Bell, Chair  Ms. Vonnie Diseth CIO/ISD Director	10:25 – 11:25	Tab 4
5.	<b>JIS Baseline Services Report</b> <ul style="list-style-type: none"> <li>• Stakeholder Feedback</li> <li>• JISC Work Group Recommendations</li> </ul>	Jenni Christopher, Business Architect Eric Kruger, Enterprise Architect	11:25 – 12:30	Tab 5
	<b>Working Lunch</b>		12:30 – 1:00	
6.	<b>JIS Priority Project Status Reports:</b> <ol style="list-style-type: none"> <li>1. ITG Request #2 – Superior Court CMS RFP <ol style="list-style-type: none"> <li>a. Letter on Procurement Rules</li> <li>b. Status of King County Requirements</li> <li>c. Membership and Charter of the RFP Steering Committee</li> </ol> </li> <li>2. ITG Request #81 - Adult Risk Assessment (ARA)</li> <li>3. Vehicle Related Violations (VRV)</li> <li>4. Superior Court Data Exchange (SCDX)</li> <li>5. ITG Request #45 – Appellate Courts EDMS</li> </ol>	Ms. Vonnie Diseth & Ms. Cheryl Mills, Vendor Relations Coordinator Ms. Kate Kruller, PMP  Mr. Martin Kravik, PM Mr. Mike Walsh, PMP Mr. Bill Burke, PMP	1:00 – 2:15	Tab 6
7.	<b>IT Governance Status Report</b>	Mr. Kevin Ammons IT Svc Del Coordinator	2:15 – 2:30	Tab 7
8.	<b>Committee Reports</b> <ul style="list-style-type: none"> <li>• Data Management Steering Committee</li> <li>• Data Dissemination Committee</li> </ul>	Mr. Rich Johnson Judge Thomas Wynne	2:30 – 2:50	
9.	<b>Meeting Wrap-up</b>	Justice Mary Fairhurst	2:50 – 3:00	

10.	<b>Informational Materials</b> <ul style="list-style-type: none"><li>• Legislative Proviso Report - Final</li></ul>			<b>Tab 8</b>
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**Future Meetings:**

**December 2, 2011**

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

- Budget Status Report
- Superior Court Case Management Business Requirements
- Information Networking Hub Presentation
- IT Governance Requests
- JIS Priority Project Reports
- Final Proviso Report
- Feasibility Study Policies

**March, 2012**

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

- Budget Status Report
- JIS Priority Project Reports
- IT Governance Requests
- IT Governance Policy for Supreme Court and COA Requests

# JUDICIAL INFORMATION SYSTEM COMMITTEE

September 9, 2011  
9:00 a.m. to 3:00 p.m.  
Red Lion Hotel, SeaTac, WA

## DRAFT - Minutes

### Members Present:

Mr. Larry Barker  
Ms. Linda Bell  
Chief Robert Berg  
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  
Ms. Barb Miner  
Judge Steven Rosen  
Ms. Yolande Williams  
Judge Thomas J. Wynne

### Members Absent:

Mr. Steward Menefee

### AOC/Temple Staff Present:

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

### Guests Present:

Mr. Shayne Boyd  
Ms. Linda Myhre Enlow  
Ms. Lea Ennis  
Ms. Betty Gould  
Mr. Frank Maiocco  
Ms. Marti Maxwell  
Mr. Chris Shambro  
Mr. Paul Sherfey  
Mr. Kevin Stock  
Mr. Roland Thompson  
Ms. Aimee Vance  
Mr. Joe Wheeler

## 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 August 5th meeting minutes. Hearing none, Justice Fairhurst deemed them approved.

## JIS Account Fund Balance

Mr. Ramsey Radwan presented an update on the JIS Account. During the last legislative session a 6 million dollar fund swap reduced the 2011-2013 general fund appropriation and increased the JIS account appropriation by a corresponding amount, thereby reducing the JIS Account fund balance held for long term information technology projects.

Mr. Radwan presented an overview of how the swap affects the JIS account over the next five consecutive biennia. The result would be a negative fund balance by the 2013-2015 biennium. We would not be able to complete identified or anticipated projects within the next six years.

Mr. Radwan shared that in a meeting with Representative Ross Hunter on August 31 Mr. Radwan had asked if this transfer was one time or ongoing. Representative Hunter replied this was a one-time transfer.

## **ITG Request #2 – Superior Court Case Management Feasibility Amended Final Report**

### ***Special Stakeholder Meeting on September 6<sup>th</sup>***

Justice Fairhurst held a meeting on September 6th with Superior Court CMS project stakeholders (Superior Court Judges, County Clerks and Court Administrators) to discuss one of the major risk factors identified by MTG --- the lack of a shared vision among the stakeholders. The meeting was very productive and the motion before the JISC today reflects the discussion and the agreements that were made between the three associations. Justice Fairhurst expressed her appreciation for the effort made by everyone.

### ***Project Background Review***

Kate Kruller reviewed all the project activity that occurred over the past several months that has brought us to this decision point.

### ***Full Briefing of Feasibility Study Alternatives***

Joe Wheeler, of MTG Consulting Services, presented a summary of the four alternatives. The full presentation details are available in the meeting documents.

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

### ***Feasibility Study Final Recommendation***

The recommendation from MTG based on their analysis is for the JISC to acquire and centrally-host a commercial full function case management system.

### ***Question and Answer Session***

JISC members had several hours of question and answer time with MTG regarding their analysis, findings, and recommendation. All JISC questions were answered to the best of MTG's abilities. The following is a summary of the major discussion items.

Justice Wiggins asked for clarification of the costs under Alternative 1 (the LINX Option). Under this alternative, the \$24 million dollars represents 2/3 of the development costs which includes salaries, employee benefits and personal service contracts. The total development cost for the LINX system would be \$36 million. The salaries and wages are AOC program costs. The personal services contracts area is where the development work and rollout is being done for the 40,000 hours. The AOC would be paying that cost. Kevin Stock stated that Pierce County has about a \$1½ million dollar budget for their programming staff (10 programmers) per year. They are able to contribute those hours towards development and future enhancements. That would be their contribution. The personal services contracts is what the Pierce County IT Director put together for the 40,000 hours of programming that has been identified as needed to re-architect the application to make it viable for the state. Pierce County would not stop all of their other internal projects. But, some of the people who are currently working on that team will be involved in a transition and/or development process to get this going. If Pierce County re-platforms LINX with another partner, not AOC, it would be roughly \$5 million dollars to re-platform (40,000 hours of work); with an additional \$6 million dollars to bring in a contractor to do the rollout (training, implementation, etc.). Kate Kruller pointed out that MTG used the low numbers from the range (low to high estimate) that Pierce County provided, not the high numbers.

William Holmes asked what other aspects of the justice system are involved in LINX since this is an integrated justice software solution? Kevin Stock responded that every piece of the criminal justice system is involved in LINX. LINX has the jail, the prosecutor, assigned counsel, court probation, jury, superior court administration, clerk's office, DV, law enforcement, sheriff, and corrections. They are looking at the possibility of bringing on outside vendors, as well. City of Tacoma Police Department is talking to them now.

Judge Steve Rosen asked if Pierce County does not come on board with the statewide system; how that changes the \$43 million dollar benefits calculation. Does it lower it? The answer was yes, by about 12%. And how does that affect the Internal Rate of Return? If Pierce County doesn't license the system, it actually increases the Internal Rate of Return, because of the amount that is allocated for configuration. Pierce County is considered a custom configuration. So, the amount of effort related to personal services contracts that deal with custom configuration is higher for the custom counties. So while they represent about 12% of the benefits, they represent more of the costs. It would cost more to convert them to a centrally hosted system than other counties, because they would need to a customized configuration. The assumption is that the larger other nine courts would get built off of a common statewide configuration template; while Pierce County would end up getting a custom configuration.

Yolande Williams asked how the Annual Tangible Benefit were calculated and whether they were based on analysis of superior court systems within the State of Washington or are on industry standards? Joe Wheeler responded that they were based on the Superior Courts of Washington as provided by Ronee Parsons and the ISD and MTG Business Analysts. There was further discussion on how much outreach was done to the clerks to obtain feedback on the analysis. MTG confirmed that outreach was made, but not a lot of feedback was received.

Yolande Williams then asked about the accounting/financial functions that were originally considered out of scope. If that functionality is now in scope, how does it affect our budget forecast? Joe Wheeler explained that accounting/financial functionality is already licensed in the commercial applications. So if you buy it, you're going to pay the same price – whether you use the financial functionality available in the system or not. However, providing a financial system for the clerks was not included in the scope of the analysis. Yolande stated that accounting is part of the functional responsibility of the clerk's office, so they need the capacity to do that. If we're talking about an application that ultimately will eliminate SCOMIS, then accounting needs to be part of it.

Judge Leach asked if the projected operating costs for this system, going forward, include any savings from not continuing to maintain SCOMIS? The answer is 'No'; it doesn't include any of the potential cost reductions from not operating SCOMIS, the King County Case Management System (KCMS), or Pierce County LINX system. But we know there will be a benefit; it just wasn't quantified.

Barb Miner asked for an explanation of the public benefits and why they were included in the analysis. The answer was that including the public benefits in analysis is a common practice throughout the state. Jeff Hall explained that when the JISC decided to move forward with the feasibility study, the vendor was instructed to conduct the analysis in accordance with the Information Services Board (ISB) guidelines and process for conducting feasibility studies. All of the financials are done using the ISB spreadsheets. We made that decision for two reasons: 1) because we don't have our own policy and our own format yet, and 2) this is the information that the legislature and folks in the Executive Branch are used to seeing. The ISB policy description, of the amounts of other benefits of the proposed project in form 5, states the following:

*Benefits Cash Flow Analysis – these may include cost avoidance, cost reduction, increased revenue, or tangible public benefits.*

This is why the public benefits are included in the analysis. It is the format that we adopted and it is the standard for conducting state IT project cost/benefit analysis.

Barb Miner then asked what it meant by Internal Rate of Return? Joe Wheeler explained that there are inflows and outflows each year. You look at those inflows and outflows over time and see what kind of

return on investment you get across all those years. The Internal Rate of Return calculation tallies all those up to determine the annual rate of return.

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

Vonnie Diseth stated that there were 18 high risk items, 22 medium risk items, and 50 low risk items that were identified in the Alternative 3 - COTS full-featured system. AOC has already started taking action to address those high-level risks. The 18 high level risks were grouped into five main categories:

1. *Unified Leadership & Vision among all the Stakeholders.* As Justice Fairhurst said earlier, we had a meeting of all the stakeholders (the clerks, court administrators, and the judges) to start focusing on that unified vision and to discuss the groups concerns and issues to find out what will it take to move this effort forward and to resolve everyone's concerns. Some of the things that came out of that discussion was the need to form a new Executive Steering Committee specifically for the RFP development that is different from the Executive Steering Committee that was used for the Feasibility Study. The group wants a new charter and more formalized processes than were used during the Feasibility Study. They would like to have formal motions made and document the discussions and decisions. We talked about obtaining agreement on the requirements. We have a proviso that we have to meet on December 30<sup>th</sup> that requires us to have agreement on the requirements prior to obtaining approval to go forward with a COTS package. Specifically, the proviso requires us to make sure that we captured all the requirements for all 39 counties. We are in discussions about the process for how we are going to do that. Once that is completed, we will have to finalize discussion on the scope issue of what is included and what isn't. But, the point I want to make is that we have started having those difficult discussions. We have already reached some agreements and have made progress in beginning to address this risk item.
2. *Adapting Current Local Practices.* This focuses on the need to look at standardization of processes as much as possible so that we don't have so many different ways of doing something. As part of our requirements and documenting the business processes, we've identified processes that are common among all the courts and identified where there is some differences in how people do things. But again, it's being open to and looking at where those things can be more standardized to where we don't have as many unique configurations that need to be done.
3. *Information Networking Hub.* Rich Johnson brought up some concerns in this area. We have an Information Networking Hub (INH) program track in place with an assigned project manager and Kumar as the program manager. At the end of this month, we have a proviso report due to the legislature that describes the data exchange strategy, where we're at, progress we've made, and the plan moving forward. We are also working on a proof of concept to validate the technology components, the services and the data stores. We will begin reporting the progress of that program track here at the JISC meetings, beginning in December.
4. *Managing the Solution Provider.* This risk is ensuring that we have the processes and procedures in place for contract management and change management and having really good project management to manage the COTS vendor. To take steps to address this risk, we hired an experienced vendor relations coordinator that started last month to help us manage our vendor contracts and vendor relations ---- especially, moving forward with this critical project.
5. *Maintaining Funding Across Three Biennia.* Ramsey has already addressed a lot of this. We need to keep the legislature informed. We need to meet the proviso requirements they have given to us. We've got the first proviso report due at the end of this month, with the second one due the end of December. We're on track to deliver those two reports. Jeff, Melanie, Ramsey, and I are also continually meeting with representatives, talking to them about the budget situation, our needs, the programs that we have in place, and the progress that we've made. We are working to keep those lines of communications open, so that they understand what our needs are and why the funding is critical to the courts.

In summary, we acknowledge the risks that have been identified in the feasibility study and are working diligently to address and mitigate those risks. But, it is important to understand that there will be risks all throughout the project. These risks are not a one-time occurrence that once mitigated you can forget about and move on. You constantly have to monitor and watch them throughout the project.

Justice Fairhurst asked Kate Kruller and Joe Wheeler how they feel about the risk mitigations that have taken place thus far. Kate stated that she is very encouraged by the steps that Vonnie has taken inside ISD to embrace the challenges that are coming now and the people we're bringing on board are superior. So, I'm more encouraged from the day that I sat down with MTG in the spring and did this initial analysis. And I think we're going to continue on that path in a positive way. Joe Wheeler stated that although steps are being taken, people are being put in place, and agreements are getting made; the proof is going to be in the execution, commitment, and durability of all this going forward; especially, around the leadership and vision risk. This project has legislative impacts and leadership impacts with a proviso coming into play. Major county organizations are going to have a say about what direction this ultimately goes.

N.F. Jackson stated that the risks, vision, and leadership are probably the highest he's ever seen with the next one being business practices. If we can identify the different practices, then we've got a short list to begin working on the consensus. Kate Kruller stated that a lot of work has already been done in this arena. ISD Business Analysts have already been capturing the differences. They are color coded so that you can easily spot where the variances and commonalities are. It's tremendous work and will continue. But, there's a lot more to do.

Rich Johnson stated that in the document on the motion there is a bullet that has to do with the INH being identified as a high risk item. The data exchange has been a priority for the past 10 or 15 years. The INH is just a vehicle for data exchange and we're saying that it is a required piece of the puzzle. But it's not part of the project. So, my comments are twofold: 1) we can't overstate the risks involved with the dependency on the INH. We could cruise along with this project, issue an RFP, get a successful vendor, it could meet everybody's needs, and we could agree to go forward. But if we don't have the INH in place; the project would fail. So, if it is a dependency and a requirement; then we need to have more focus on that effort and put some stoplights in place. We need to have made progress towards that ultimate goal before we get too far out on our CMS continuum, or our risk is quadrupled. I think we need to have a specific mitigation strategy just for the INH. In my opinion, that is the 100 pound gorilla that we've never been able to bring down.

Vonnie Diseth responded that there will be a contingency plan in place in the event that the INH is not ready when it's needed. But, we are working towards making sure that it is in place.

Justice Fairhurst stated that the JISC really needs to understand the goals and timeline for Plan A to ensure the two projects are in the right spot. It is very smart to do contingency planning to know what our stop-gap will be to bring on CMS even if the INH is not ready for some reason. Because we might determine that if INH isn't going to be ready and it doesn't make sense to implement the contingency plan; we may decide to take a yellow and not acquire the CMS for some period of time to let the INH project catch up. So those would be the two different options: 1) to wait – if INH isn't going to happen or 2) everything is great and we're good to go. It is not our expectation or our plan, but this group as we know wants to have contingency plans so that we don't have failures. And, I know Vonnie and Jeff share that sentiment as does all the AOC staff. As I definitely do. It is really important that we have successes. And for us to have successes, we have to do like any smart person would do and plan for the ideal as well as the worst case scenario. So, as we move on to the decision points, we have built in these stop signs so that the RFP steering committee will be in a position to say Yea or Nay. If they say nay, that's it --- we're done. If they say yes, then the JISC can either say yes or no to that. But, we don't get to monkey around and change their recommendation. They are the stakeholders who have skin in the game. The no decision or none of the above is an option. And that includes today. Today, we could stop right now and just say, we think we're not going to overcome the risks. We think the risks are too great. We don't think the benefits are really there; and we stop today. Or we say; we're ready to go forward. We think we've got mitigation plans for the risks and we feel pretty good about it. So by saying yes, we're just saying yes to the next phase. There's the big journey and then there's the different steps. And we can stop at any point along the way.

Because having a bad result or having something that doesn't serve our needs is not a win. A win is to have something that serves our needs.

### ***Discussion of the RFP Evaluation Process***

Jeff Hall explained that in anticipation that a significant issue with the stakeholder groups would be the governance of the project and the selection process, a group got together at AOC to talk about what the RFP process might look like and what the different groups involved in that might look like. We shared a proposed concept at the stakeholder meeting on Tuesday. Some discussion and some tweaking occurred amongst the stakeholders. We talked about it in terms of tiers:

**Tier 1** is the review of the paper submissions. If you've ever been involved in grading grants or resumes, or anything like that, it's that grunt work of just going through and checking off boxes and scoring paper after paper after paper. We anticipate there would be two Tier 1 groups. One group would be the Technical group. We would involve both AOC technical staff and county IT technical staff. So, we would get an outside technical view, as well in that analysis. Again, that's the raw objective scoring that happens. The same thing would happen on the functional requirements. We would look to have an equal number of county clerk representatives and an equal number of combined judge and court administrator representatives doing that functional scoring, the raw paper scoring.

**Tier 2** review gets into more of the interactive review. The demos, the use case scenarios, and potentially site visits; all of those sorts of things. The Tier 2 group would use objective scoring criteria, but would be much more interactive and actually looking at the products and touch and feel with the same sort of structure as Tier 1. Different people, but an equal number of clerk representatives and judge/court administrator representatives combined. To do that scoring there would be again a technical group just to make sure that what they had in paper in fact they show in a live environment, or in a demo environment. Scores for both the Tier 1 and the Tier 2 would then go up to the RFP Executive Steering Committee.

**Tier 3** is review and recommendation by the Executive Steering Committee with one significant change: when we get to the scoring review and the decision point about what product or not to recommend to JISC, Vonnie and I would not vote. We would not have a vote in that aspect of the steering committee's responsibilities. The composition of the steering committee would be three clerk representatives and three judge/administrator representatives. For the three judge/administrator representatives, the following rules apply: there must be at least one judge and at least one court administrator and one of the three must be from the King County Superior Court. The Steering Committee has two roles: One role is oversight as we go through the RFP development and execution process. When risks need to be elevated or issues need to be resolved that can't be resolved at the lower level, they elevate to there. Kate Kruller, as the project manager, uses that group to handle things that she needs input and direction on. A really good example from her time at DOT is where a vendor in response to one question on the RFP simply had the word, Dave. It was a clear mistake by the vendor. The person responsible apparently for answering that question (Dave) didn't do so. There was a big debate about whether or not that should disqualify that vendor's response. That question was elevated to the steering committee and they decided to allow the vendor to proceed. But it was the steering committee that was able to answer that question and make that decision. Then, they would make the final recommendation to JISC on acquiring Product A, Product B, or none of the above. All those are viable options. Then, the JISC either accepts or rejects the recommendation.

Justice Fairhurst reminded everyone that the RFP steering committee would have formal minutes taken when they meet so that we know what was discussed, concerns people raised, and agreements made or not made. And votes would be taken so it would be less of a consensus. They have to have a majority of four votes to pass anything. So, you at least have one from the judicial side and recognizing the clerks and the executive side and how much this impacts their work, that it was really important. The Court Administrators were fine to have that split. King County has a very important presence because of information that we're aware of that Ross Hunter, who is the Chair of the House Ways & Means Committee,



will not approve the money for this project unless King County's needs are met. That's been sort of worked out to be 95%. Now, we're trying to get an understanding around 95% of what? But, we do know that it's very important and if there were a vendor out there that could meet 95% of King County's needs, and Ross Hunter would fund it, it would be fabulous. We're going to have to sort that out as we go forward. I believe I'm meeting with Ross Hunter next week. And, I'm going to continue to meet with Ross Hunter to have these discussions to try to be sure that he understands the efforts that we are going through to try to have this be a win/win for everybody involved. I also want to be clear that the intention of this project, if a new CMS is eventually selected, that it would replace SCOMIS in the JIS portfolio. The new Case Management System would have to have SCOMIS functionality. It may not perform those functions in the same manner as it is currently done in SCOMIS. But, it would have the same functionality. That's because one of our JISC goals is to reduce the size and complexity of our IT Portfolio. So, we don't want to simply add a new system to the mix without retiring an old system. Of course, SCOMIS and the new case management system would be on dual tracks for some amount of time due to the statewide rollout. The other expectation was that King county would be implemented in the first 18 months. Normally, we wouldn't take on a big county first. But if they want it early, we'll let them have it.

Vonnie Diseth pointed out that the agreement that was reached regarding King County being one of the first counties to rollout did not actually get captured and included in the motion (as it should have been). So, the motion should be amended to include that as the last bullet item.

Justice Fairhurst polled each of the stakeholders who were at the Tuesday meeting to see if they had anything they wanted to add. Paul Sherfey stated that he appreciated Justice Fairhurst's acknowledgement of the position King County is working under, that we have captured it all very appropriately, and that he thinks this should go forward.

### ***Legislative Proviso: Due December 31, 2011***

We have a legislative proviso due at the end of December that requires us to confirm that all 39 counties agree with the business requirements that have been captured; before the RFP is issued. What we discussed with our stakeholder groups, which included the presidents of the three associations, was that we would have the three presidents affirmatively confirm with their own members that they are satisfied. We will need to verify with Ross Hunter that this approach is okay. But, the sense is that if King County is okay with it, then Ross Hunter will be okay with it. So we're not going to go out to all the 39 counties individually. We're going to let the presidents manage their own groups. If there are concerns within the three major stakeholder associations, we want them to try to sort that out themselves.

Vonnie Diseth handed out a timeline that was put together based on Tuesday's agreements that works backward from the date the proviso is due and identifies the critical dates that we need to meet if we are going to be ready in time. This is the second proviso report that has to go to the legislature. There happens to be a JISC meeting scheduled for December 2<sup>nd</sup>. We thought that would be a good time to have written confirmation from the three association presidents that the requirements that we have gathered meet their needs, are comprehensive and that we are good to go. If we have that on December 2<sup>nd</sup>, then we'll be able to put that in with the report and will be ready with everything we have to have due at the end of that month. We have not yet received all of King County's requirements. What AOC offered to do, is to send Lea Ennis, Barb Miner and Paul Sherfey, the requirements that we have gathered for them to review and validate. They can then include any of their requirements that we don't have captured. To keep on schedule, we need to have those by the end of the month (September). So, that gives King County two and a half or three weeks to review and respond. When we get those back, we will then spend October thru November making sure we understand what was added, having meetings and conversations about review and refinement of those requirements between all three associations of the executive steering committee, and making sure that we've got the comprehensive requirements list. So when we get to the December 2<sup>nd</sup> JISC meeting, we want all parties to be comfortable that they can give that endorsement. Everyone needs to see the schedule and understand the timelines that we have to meet to make this happen.

Barb Miner asked if the requirements AOC will be sending to them will include the requirements that were gathered in the last CMS effort. The answer was yes, they will be included. We are not starting at square

one. What we have gathered includes the requirements that were done with the last effort.

### ***RFP Executive Steering Committee***

N.F. Jackson suggested that the charter for the new RFP Executive Steering Committee be sent to the JISC in advance to let it be vetted in time to get it approved by our constituencies for recommendation to the JISC on October 7th.

Justice Fairhurst stated that this is going to be different governance structure than we have had before. Some of the concerns expressed by the stakeholder groups were that the decisions that get made with this project effects them directly. There are many more people on JISC than are Superior Court representatives. And the stakeholder groups don't want to go through all this effort and then have the rest of us (non Superior Court JISC members), who aren't living in their world day in and day out, monkey around the decisions or recommendations that are made. So, we are going to let the RFP Executive Steering Committee develop charter for this phase of the project. But I need to be sure JISC is okay with that. If we don't like how it works on this project, we don't ever have to do it again. But as our very first project, we have to sort of feel our way as to the processes. So, this was the process that the stakeholders and AOC and I were comfortable with. But I want to be sure the rest of you are.

William Holmes stated that the juvenile court community, a division of the superior court, remains concerned that they do not have adequate assurance that they have a place in the proposed structure to address the impacts the new CMS may have their operations. There is great concern that the juvenile court administrator's responsibilities will not be properly addressed. The feasibility study workgroup will include the three major stakeholders, but that does not include the juvenile court administrators.

Yolande Williams asked if there was any discussion at the meeting with the stakeholder group regarding how this project deviates significantly from the official JIS process, where JIS basically has ultimate authority to make decisions moving forward. This particular project is kind of going off a different path; where in essence, King County is in the driver's seat.

Judge Thomas Wynne explained that the JISC would still have responsibility and authority to make the decisions on this project in terms of stoplights and go/no go decisions. But the idea here is that this project should not be micro-managed by the JISC. The project steering committees have the authority to make recommendations at each stage to JISC regarding whether the project should go forward and how it should go forward. The JISC would not have the ability to come back and say no, the Executive Steering Committee recommends Vendor B; but, we think we should choose Vendor C. The JISC would only be able to say, yes or no to that recommendation. If the JISC says no; then the Executive Steering Committee can come back and reassess the situation. But, the JISC cannot substitute a decision for a recommendation being made by the Executive Steering Committee. As to King County, it's a political reality based upon the budgetary situation and the fact that we have a representative from King County who's Chair of the House, Ways & Means Committee. So this is sort of unique in this respect. And, King County will have to agree to what we're doing before we will have a budget to proceed. If King County doesn't agree, we're not going to have a budget and we can't have a project. So, that's the reality of it.

Judge Jeanette Dalton stated that we did discuss the implication of Ross Hunter at the meeting on Tuesday. And, it may feel like he is dictating to us. But upon reflection, and throughout this vigorous discussion that we had on Tuesday, my impression was that this is a true opportunity for all of us to unify our vision, to come together and to truly create a statewide case management system that can meet the needs of all of us. And we have a funding source who is ready and willing to pay for it in Ross Hunter. He has a proviso. But, in discussions with the folks from King County, their vision is not disparate from our vision. What they want is what we want. And since their voice is the one that is going to be heard the loudest; then I think we're all going to have a wonderful opportunity here to really get all the bells and whistles. We may get a Cadillac.

Justice Fairhurst then asked the group how William Holmes's juvenile court administrator concerns could be addressed.

N.F. Jackson suggested that one of the requirements for the new system should be to integrate with the Juvenile Court System (JCS). The Juvenile Court applications include some detention and referrals to probation. Some courts have juvenile deputy clerks who do all the docketing of those documents and manage the juvenile cases. SCOMIS or the SCOMIS replacement will embrace much of that need. We cannot miss the technical connection to JCS, as a requirement. In addition, some juvenile courts serve multiple counties. That complicates the issues. There must be some kind of accommodation made for those officers to have multi-jurisdictional responsibilities. I think I can commit to William Holmes that the judges and administrators have your best interests at heart. We'll be in constant communication with you to ensure that we have covered everything.

Jeff Hall commented that one of the things that we would do now that William Holmes raised these concerns is to ensure that we do in fact engage with the juvenile court administrators on the requirements, as we with the other stakeholder groups. Then, subject to further discussion, we go forward. But, I don't see why we wouldn't include them as part of the Tier 1 and Tier 2 RFP Evaluation teams.

Kate Kruller stated that the project is still doing scope visits. And, although we are not replacing the juvenile system (JCS), the project still has to engage with and understand what processes overlap.

### ***Information Networking Hub (INH)***

Rich Johnson asked if there is really any way we can do the data exchange with the CMS project without the INH because he has been operating on the assumption that if we don't have it, we will fail.

Kumar Yajamanam clarified that the INH is much bigger than just the Superior Court Case Management System integration. The Information Networking Hub is needed for many more things. The CMS effort will likely be the first one of the major projects that would be using it. So, from the perspective of the Superior Court Case Management System, we have to consider other various workarounds (contingency plans). Some of that will depend on what is the scope of the case management system. For example, if the accounting functionality is part of the new scope; what we have to deliver to INH will be different. Therefore, our requirements of what services have to be provided are going to be different. So, the workarounds could be based on the scope of the functionality of the new CMS. For example, if we implement the new case management system with exactly the same functionality as what SCOMIS does today and nothing more; we could do a database to database synchronization. That would be a little easier to do. But if we have to include some new functionality in the case management system (i.e., a new case type that we have not handled in the past); then the data changes. And we may not be able to do a direct database to database synchronization. In which case we have to start thinking in terms of how we'll translate from one system to the other. Any workarounds that would be employed would be temporary in nature and would go away once we got the INH up and running. The INH will continue to develop. In addition, the COTS vendors typically have their own integration engines which could be our failsafe. But without knowing which specific vendor we would need to integrate with, it is difficult to factor that in. We don't know how the vendors are going to provide that. We expect that the vendors would have an application programming interface (API). All the new COTS packages have those. And they could be capable of providing us information in whichever form that we ask for it. So, that's the solution that we're doing now.

Rich Johnson stated that the INH project may not be as fraught with peril as the superior court exchanges have been in the past because we're not trying to exchange data with SCOMIS, but a different product that maybe is more modern and has more standardization. But that there should be a fundamental premise, that a stoplight be inserted in the CMS project that is associated with the INH project. And, it needs to be pretty early on in the process before we have too much invested. That way, as that process moves forward, we know that at a certain stoplight, we have to know where we are on INH because it will be a major factor in the decision making.

Judge Thomas Wynne stated that the data exchange Information Networking Hub must be completed regardless of the process, but it's not a deliverable of the CMS project. They are two separate projects that have dependences between them.

Kate Kruller explained that the projects are separate because INH will happen whether CMS does or not. So, the dependency is because the CMS project is coming along and has a need. So, we have actually been talking about integrated milestones and a projects chart that can be shared to show where those dependencies are and how we're doing against them.

Jeff Hall stated that the CMS project is highly dependent on INH. And, to some extent what we do in INH initially is dependent upon what CMS needs. We recognize those dependencies. Vonnie and her staff have spent a lot of time understanding those dependencies and looking at not just the dependencies with INH, but with all of the other concurrent efforts that are going on within AOC as well. Things like getting the vendor relationship manager hired to support the CMS project coming down the road. They've spent a lot of time working on all those dependencies.

Vonnie Diseth expanded on that and explained that ISD is currently recruiting for an Enterprise Scheduler to help coordinate the timelines for all these projects and the dependencies. They plan to be able to come back here and provide the JISC with that master schedule that shows the various project relationships.

Judge Thomas Wynne stated that we are talking about data exchanges and INH in the same breath. And, they are two different things. We're relying on data exchanges now for communications between the same level of application (i.e., LINX and SCOMIS) and in the future will continue to rely on them for that purpose. However, the INH will allow interfaces between other systems and the new COTS system. And those are two different things.

Kate Kruller stated that a while ago there was a diagram that showed various point-to-point connections and how complicated they could get. The INH will serve as a "switchboard" (for lack of a better term). But, if we have to, we can use the less desirable point-to-point connections with the integration engine provided from the vendor's CMS. If the INH is not ready when it is needed, it would not stop us.

Barb Miner reminded everyone that Vonnie said ISD would do a briefing on INH for the JISC to give everyone a better understanding of what it is. We need to understand what the risks are for that effort as well (capacity, technology, etc). The JISC needs to have more thorough information about what it is and the timeline. Vonnie said it was her intention to have an INH presentation at the December meeting. The October meeting agenda is already full and the agendas get planned months in advance. That would also give the team more time to pull all the information together. And, it would be timely because our pilot that we're doing is supposed to be completed in December. So, we would have information on that as well.

### ***The CMS Project and Smaller Courts***

Linda Bell stated her discomfort that King County seems to be in control of the CMS project moving forward. Just because we're getting a Cadillac for King County, doesn't mean it is going to work for all the other superior courts; the smaller ones.

Justice Fairhurst stated that King County has what they currently have, which is more than what most people have. And the commitment coming out of the stakeholder group on Tuesday was that if it met 95% of their requirements, it would be acceptable. So, it's just a number that was picked. That number could change later to a lesser percentage. But, the RFP Executive Steering Committee and the JISC has a responsibility to ensure that what we end up with will serve all the counties.

Jeff Hall stated that based on what he knows of the market, it's not likely that we'll find a system that meets King County's needs but is too sophisticated for the rest of the smaller courts. If you look at the market, the CMS systems are operating in both large and small courts. It's more likely that we'll see a few products that would be fine for the small courts, but don't meet King County's needs. But, it is not likely that we'll find something that meets King County's needs that would overwhelm a small court. Vendors make sure that their products works in all situations because they are trying to sell to other states. And other states are just

like us. They've got really small towns in rural areas, one big metropolitan center, and maybe a couple of other mid-majors. We're very similar to Arizona and Minnesota and Indiana.

### **Courts of Limited Jurisdiction Concerns**

Linda Bell stated that in looking at future budgets and limited funds; the CLJ's have concerns that they will end up having to migrate to the CMS system that the Superior Court chooses. And it's a serious concern that they want to put on the table.

Justice Fairhurst stated that it was a good observation and everyone is sensitive to that. A potential option would be to do exactly what we've done for superior courts and see if there's something on the market that meets the needs of the CLJ courts. Or, we can find out if the same system will work for the CLJ's or what wouldn't work. The CLJ's are clearly the work horse of the courts. The system that works for a superior court may not be the system that would work for you. And it may make sense, for a feasibility study, and an RFP. Or the chosen vendor may have a system that will work for the CLJ's. I think that's where we'll be going as we start working our way through the portfolio and saying, who's most at risk next, and where do we need to set the priorities. But, it will be duly noted that the courts of limited jurisdiction are sensitive to this issue and how it will ultimately affect them.

N.F. Jackson suggested that we ask vendors in the RFP to tell us what they offer for the Courts of Limited Jurisdiction.

Judge Steve Rosen suggested that someone from the Courts of Limited Jurisdiction be invited to sit in on the Tier 1 and Tier 2 RFP Evaluation Teams to observe and get a sense of what the vendors are offering.

Jeff Hall commented that he's given this some thought. We are going to go out and acquire a system for the superior courts. The limited jurisdiction courts are already starting to put their request into the IT Governance process. So, we should do for the courts of limited jurisdiction, the same thing we are doing for the superior courts. First, we need to capture, document, and understand their requirements. Once we've done that, then we can say, we've got this system over here for the superior courts, how does it measure up and match limited jurisdiction courts' requirements? If it's a match – hallelujah! If it's not a match or not a good match, then we go to a feasibility study, we do an RFP, and we see what's out in the market that meets the needs and the requirements of the limited jurisdiction courts.

### **Motion for the Superior Court Management Feasibility Study**

Justice Fairhurst called for a motion.

**Motion:** *Judge Thomas Wynne – I move that the JISC direct the AOC to develop an RFP that would implement the recommendations of MTG Management Consultants, in the Superior Court Case Management Feasibility Study Report, Version 1.3 presented today, that AOC acquire, implement, and centrally host a statewide, full-featured (as we talked about defined in this meeting), commercial case management system for the superior courts, subject to the conditions on this page. To include that King County be implemented within the first 18 months, as we talked about that on Tuesday.*

Justice Fairhurst – Do I have a second?

**Second:** Judge Jeanette Dalton

Justice Fairhurst – I have a motion made by Judge Thomas Wynne, seconded by Judge Jeanette Dalton. Do I have any discussion?

Judge Steve Rosen asked Joe Wheeler a question about the dollar cost at each of the stop signs. Joe stated a rough estimate of RFP development – a couple hundred thousand, Acquisition - \$475,000, Configuration and Validation - \$5 million, and the Pilot - about \$1.8 million.

Barb Miner asked a clarifying question about the process that was agreed to at the meeting with the stakeholders and the roles between the RFP Executive Steering Committee and the JISC. Justice Fairhurst reiterated that if the Steering Committee recommends a "stop" to the project (from a stoplight perspective). That is a recommendation to JISC. The JISC cannot say we're continuing on anyway. The JISC cannot override a no vote, or none of the above vote from the RFP steering committee. That's approximately the 5th bullet in the motion that was agreed upon. So, if the committee comes back and you have 4 votes that say, nope, we're done. Then, by adopting this, we are agreeing that the JISC is not overriding them. The JISC would have the option to say, go back to the other feasibility alternatives. The Steering Committee can then work it out or not work it out. Or, under a different scenario --- if the Steering Committee says they want COTS Vendor A, the JISC cannot say we choose COTS Vendor B. But, the JISC can say no to Vendor A. The Steering Committee can then go back and say okay, the JISC has not approved Vendor A; we have two other vendors. Do we like either of them? And if you say, no, we don't like any of them. Then, we're back to the feasibility study. If none of the alternatives are viable, then we're done with the project. You are simply out of luck. At that point, the JISC has reached a conclusion of this project. You can go to the back of the end of the line and you make a new request and you see if you can get your CLUG to agree. But, you have to get back in the queue. That's being true to our governance process and is being respectful to the role and the importance of the stakeholder groups. The JISC should not be second guessing what the stakeholders pass, as far as whether or not it will work for them. The JISC will still retain the ultimate authority over money and timing. But, the JISC would not force a new system on a court simply because thirteen other members (vs. six members) think that you should be able to live with it.

Marc Lampson expressed two points. The first point is that the ultimate stakeholders here are the public and the Bar Association. And neither is represented on this subcommittee. I think that's unfortunate that those stakeholders are not represented. The second point is that I wasn't convinced by the briefing that the LINX system should be excluded from consideration. If we're going to go toe-to-toe with 3 or 4 vendors that have been identified as having deep and robust participation in this market, I would like to see how LINX matches up. I suspect LINX would come up pretty well.

Jeff Hall responded that if the motion goes forward and if we proceed with an RFP development and the release of an RFP, there is nothing that prohibits Pierce County from submitting a response to the RFP and competing with all of the other vendors in that process. So what this vote is saying is that we're not going to exclusively work with Pierce County on developing a system. That decision has been made or is implied by this vote. Otherwise, we could probably do an Intergovernmental Agreement with Pierce County and avoid all the procurement issues. But if we're going to go for a procurement, that still does not by this vote preclude Pierce County from submitting a response to the RFP and being evaluated along with everybody else.

Kevin Stock responded to Marc Lampson's comment regarding the Bar Association and Public involvement on the Executive Steering Committee. This is such an important decision for us because this is our work product. But, all the benefits that could be gained by the Bar and by the public are very much in the back of my mind when I look at and evaluate things. So you both are beneficiary to that. But, we would definitely have concerns with you or the public, or whoever, coming in and having the ability to stop this effort --- simply based on it doesn't meet your needs. Your interests are in our hearts and mind.

Marc Lampson - It would just be a voice there to say, you know, what does this look like to the public? How is the Bar going to interact with the system? I think an ultimate decision would be up to the courts.

### **Official Vote**

Justice Fairhurst – I'm hearing no acceptance of any amendments to the Motion as it stands. And, I have a motion and a second. Yolande Williams is not able to vote, because we don't allow proxy under our current rules. But, before she left, she told me that she does support this Motion. She is not voting. But, off the record, she is not disagreeing. I'm going to go ahead and call for a vote. I want JISC members to raise their hand and I will note.

**Voting in Favor:** Justice Fairhurst, Larry, Barker, Linda Bell, Chief Berg, Judge Dalton, Jeff Hall, Judge Heller, N.F. Jackson, Rich Johnson, Marc Lampson, Judge Leach, Barb Miner, and Judge Rosen.

**Opposed:** William Holmes

**Absent:** Stew Menefee, Yolande Williams (at time of vote)

Thank you all very much. We will go on to the next phase. A new RFP Executive Steering Committee charter will be developed. We will be identifying the evaluators. The stakeholder groups will be identifying who their six members will be. We will get a small update in October and another update in December. Thank you everyone for all of your hard work on this project. And, thank you to Kate Kruller and Joe Wheeler for your efforts. A lot of people have worked really hard for a long time to get us to that decision point. So we will move on from this stop sign, and when we reach the next stop sign, we'll have another robust effort.

### ***Update on the Spokane Municipal Court Request***

Vonnie Diseth reminded everyone of the initial letter that was sent to the JISC in March requesting approval to implement their own CMS system, locally in Spokane. In June, this was brought before the JISC for initial discussion. At that time, we brought forth the options as we saw them for dealing with Spokane's request. We presented three different options. One was using the existing Seattle Municipal Court file transfer process that we currently have, and we identified the pros and cons of that approach. The second option was to do duplicate data entry into both the new system that they wanted (JustWare), as well as the JIS system. We also identified the pros and cons of that approach. The third option was to not implement JustWare until after we had completed ITG request #27, which was Seattle's request to expand the data transfer. No decision was made by the JISC at that time. The JISC decided to create a group to look at developing a policy for Rule 13. Meanwhile, ISD has been working with Spokane trying to understand the data exchange issues and what it would take to make this work. We were having a lot of technical meetings with them. But on August 16th, Justice Fairhurst received a letter from Spokane stating that they had reconsidered their request and have decided that they want to go with Option 2 which is the duplicate data entry temporary solution. They stated that they plan to proceed with implementing their own CMS system and continue to enter data into JIS. They stated that no further consideration or discussion needs to happen here with the JISC. I wanted to make you aware of their decision and that technically the JISC never actually voted or approved their implementation of a local court system. We briefly discuss this at the JISC Executive Meeting. The decision was to draft a response to Spokane that outlines the potential risks that they will assume of implementing their own system. This agenda item is simply an FYI to let you know what was decided.

Justice Fairhurst clarified that we are technically pointing out to Spokane that the JISC isn't in a position at the moment to approve or disapprove their request because we don't have a policy in place. We acknowledge that they were trying to follow what they understood was the rule. But, because a policy is not in place, we didn't want to hold it up any further. So, our recommendation is we just do nothing other than what we've outlined.

Barb Miner stated that it would be helpful when we are doing the December presentation on INH if we would include how the Seattle Municipal request fits in with the INH effort since it involves data exchange and is a large project. If the INH was in place, would the Seattle Municipal request still be necessary?

Larry Barker asked if we were continuing with the subcommittee that was created to go over Rule 13 and to create a policy. The answer was 'yes', we are still continuing with that work. It is on the agenda for October.



## Revenue Summary October, 2011

### Current Biennium-2011-2013

- Since February 2010 General Fund revenue collection estimates have been decreased by \$1.9 billion (5.9%). The reduction is primarily due to economic changes.
- Revenue growth is expected to be about 7% greater than last biennium (approximately \$2.1 billion more in anticipated revenue collections).
- The projected deficit for the state general fund is now \$1.3 billion.

### Actions to Date

The Director of the Office of Financial Management (OFM), Marty Brown, distributed a memo on August 8 directing all branches to submit 5% and 10% expenditure reduction plans by September 22. Several other communications, subsequent to the August 8 memo, have been distributed by the Governor and OFM indicating that the target reduction is now \$2 billion and asks that executive agencies submit additional reduction scenarios. While a formal response has not been drafted, agencies of the judicial branch will not submit reduction targets through OFM. Additionally, we are not likely to offer reduction targets to the legislature, but will most likely state that we've been cut beyond our ability to carry out our core constitutional functions and therefore should not be subject to further reductions.

### Special Session

As you know the Governor has called for a special session beginning November 29, 2011, after the Thanksgiving holiday and the November 17 economic and revenue forecast.

As noted above, the Washington state judicial branch is unlikely to offer reductions. We will, however, begin to meet with legislative leadership in order to educate them regarding our budget, our constitutional mandates and the policy choices they will have to make if reductions are implemented.



**Administrative Office of the Courts Information Services Division Biennial  
Budget Information 2011-2013 Budget Overview-  
October 7, 2011 Update**

	<b>2011-2013 Operational Funding</b>		
	<b>Sal. &amp; Benefits</b>	<b>Other</b>	<b>Total</b>
<b>Fiscal Year 2012</b>	\$11,835,000	\$2,462,675	\$14,297,675
<b>Fiscal Year 2013</b>	\$14,368,000	\$2,260,000	\$16,628,000
<b>Total Operational Expenditures</b>	<b>\$26,203,000</b>	<b>\$4,722,675</b>	<b>\$30,925,675</b>

	<b>2011-2013 Project Funding</b>		
<b>Biennial Totals</b>	<b>Sal. &amp; Benefits</b>	<b>Other</b>	<b>Total</b>
<b>Superior Court Case Management</b>	\$2,213,651	\$2,759,349	\$4,973,000
<b>Information Network Hub</b>	\$0	\$2,582,325	\$2,582,325
<b>Small/Medium Projects</b>	\$0	\$1,984,000	\$1,984,000
<b>Transformation Carryforward</b>	\$0	\$1,549,000	\$1,549,000
<b>Internal &amp; External Equipment</b>	\$0	\$1,178,000	\$1,178,000
<b>Total Project Expenditures</b>	<b>\$2,213,651</b>	<b>\$10,052,674</b>	<b>\$12,266,325</b>

	<b>2011-2013 Total Funding</b>		
<b>Biennial Totals</b>	<b>Sal. &amp; Benefits</b>	<b>Other</b>	<b>Total</b>
<b>Operational Funding</b>	\$28,416,651	\$4,722,675	\$33,139,326
<b>Project Funding</b>	\$0	\$10,052,674	\$10,052,674
<b>Total 2011-2013 Estimated Expenditures</b>	<b>\$28,416,651</b>	<b>\$14,775,349</b>	<b>\$43,192,000</b>

**Notes:**

A). Estimated costs in excess of funding	
INH	\$ 881,000
COTS Preparation Track	\$ 242,000
<b>Total</b>	<b>\$1,123,000</b>

**Administrative Office of the Courts**  
**Information Services Division Project Allocation & Expenditure Update**  
Expenditures and Obligations September 30, 2011

	Initiatives--JIS Transition	ALLOTTED	EXPENDED	VARIANCE
2.	<b>Capability Improvement Phase I</b>			
2.4	Implement IT Portfolio Management (ITPM)	\$199,400	\$0	\$199,400
	<b>Capability Improvement Phase I-Subtotal</b>	<b>\$199,400</b>	<b>\$0</b>	<b>\$199,400</b>
3.	<b>Capability Improvement Phase II</b>			
3.4	Implement IT Service Management	\$115,000	\$0	\$115,000
	<b>Capability Improvement Phase II-Subtotal</b>	<b>\$115,000</b>	<b>\$0</b>	<b>\$115,000</b>
4.	<b>Capability Improvement Phase III</b>			
4.2	Mature Application Development Capability	\$115,000	\$0	\$115,000
	<b>Capability Improvement Phase III-Subtotal</b>	<b>\$115,000</b>	<b>\$0</b>	<b>\$115,000</b>
7.	<b>Information Networking Hub (INH)</b>			
7.6	Information Networking Hub (INH)	\$2,582,325	\$0	\$2,582,325
	<b>Information Networking Hub (INH) - Subtotal</b>	<b>\$2,582,325</b>	<b>\$0</b>	<b>\$2,582,325</b>
11.	<b>Organization Change Management Phase II</b>			
11.1	Change Management in Support of JIS	\$320,000	\$0	\$320,000
	<b>Organ. Change Mgmt Phase II-Subtotal</b>	<b>\$320,000</b>	<b>\$0</b>	<b>\$320,000</b>
	<b>Ongoing Activities</b>			
12.2	Natural To COBOL Conversion	\$275,000	\$0	\$275,000
12.3	SCOMIS DX	\$524,600	\$0	\$524,600
	<b>Ongoing Activities-Subtotal</b>	<b>\$799,600</b>	<b>\$0</b>	<b>\$799,600</b>
	<b>JIS Transition Subtotal</b>	<b>\$4,131,325</b>	<b>\$0</b>	<b>\$4,131,325</b>
	<b>Superior Court CMS</b>			
	Initial Allocation	\$4,973,000	\$0	\$4,973,000
	COTS	\$0	\$0	\$0
	<b>Superior Court CMS Subtotal</b>	<b>\$4,973,000</b>	<b>\$0</b>	<b>\$4,973,000</b>
	<b>ITG Projects</b>			
	ITG #045 - Appellate Court E-Filing Electronic Document Management System (EDMS)	\$980,000	\$0	\$980,000
	To be Allocated	\$1,004,000	\$0	\$1,004,000
	<b>ITG Projects Subtotal</b>	<b>\$1,984,000</b>	<b>\$0</b>	<b>\$1,984,000</b>
	<b>Equipment Replacement</b>			
	Equipment Replacement - External	\$628,000	\$0	\$628,000
	Equipment Replacement - Internal	\$550,000	\$0	\$550,000
	<b>Equipment Replacement Subtotal</b>	<b>\$1,178,000</b>	<b>\$0</b>	<b>\$1,178,000</b>
	<b>TOTAL 2011-2013</b>	<b>\$12,266,325</b>	<b>\$0</b>	<b>\$12,266,325</b>
	<b>Additional Funding Requirements</b>			
7.6	Information Networking Hub (INH)	\$881,000	N/A	N/A
	COTS Preparation Track	\$242,000	N/A	N/A
	<b>Unfunded Costs</b>	<b>\$1,123,000</b>	<b>N/A</b>	<b>N/A</b>

**Administrative Office of the Courts**  
**Information Services Division SC-CMS Implementation**  
**Allocation & Expenditure Update**

Expenditures and Obligations September 30, 2011

<b>SC-CMS Implementation</b>	<b>ALLOTTED</b>	<b>EXPENDED</b>	<b>VARIANCE</b>
<b>Fiscal Year 2012</b>			
Feasibility Study	\$291,750	\$0	\$291,750
Phase 1 - Acquisition/RFP Development	\$674,189	\$0	\$674,189
Phase 2 - Statewide Configuration and Validation	\$0	\$0	\$0
Phase 3 - Local Implementation Preparation	\$0	\$0	\$0
Phase 4 - Pilot Implementation	\$0	\$0	\$0
Phase 5 - Statewide Rollout	\$0	\$0	\$0
<b>TOTAL FY12</b>	<b>\$965,939</b>	<b>\$0</b>	<b>\$965,939</b>
<b>Fiscal Year 2013</b>			
Feasibility Study	\$0	\$0	\$0
Phase 1 - Acquisition/RFP Development	\$0	\$0	\$0
Phase 2 - Statewide Configuration and Validation	\$3,703,860	\$0	\$3,703,860
Phase 3 - Local Implementation Preparation	\$53,849	\$0	\$53,849
Phase 4 - Pilot Implementation	\$0	\$0	\$0
Phase 5 - Statewide Rollout	\$0	\$0	\$0
<b>TOTAL FY13</b>	<b>\$3,757,709</b>	<b>\$0</b>	<b>\$3,757,709</b>
<b>Fiscal Year 2014</b>			
Feasibility Study	\$0	\$0	\$0
Phase 1 - Acquisition/RFP Development	\$0	\$0	\$0
Phase 2 - Statewide Configuration and Validation	\$2,942,453	\$0	\$2,942,453
Phase 3 - Local Implementation Preparation	\$309,630	\$0	\$309,630
Phase 4 - Pilot Implementation	\$766,426	\$0	\$766,426
Phase 5 - Statewide Rollout	\$0	\$0	\$0
<b>TOTAL FY14</b>	<b>\$4,018,509</b>	<b>\$0</b>	<b>\$4,018,509</b>
<b>Fiscal Year 2015</b>			
Feasibility Study	\$0	\$0	\$0
Phase 1 - Acquisition/RFP Development	\$0	\$0	\$0
Phase 2 - Statewide Configuration and Validation	\$0	\$0	\$0
Phase 3 - Local Implementation Preparation	\$323,093	\$0	\$323,093
Phase 4 - Pilot Implementation	\$0	\$0	\$0
Phase 5 - Statewide Rollout	\$4,208,666	\$0	\$4,208,666
<b>TOTAL FY15</b>	<b>\$4,531,759</b>	<b>\$0</b>	<b>\$4,531,759</b>

**Administrative Office of the Courts**  
**Information Services Division SC-CMS Implementation**  
**Allocation & Expenditure Update**

Expenditures and Obligations September 30, 2011

<b>SC-CMS Implementation</b>	<b>ALLOTTED</b>	<b>EXPENDED</b>	<b>VARIANCE</b>
<b>Fiscal Year 2016</b>			
Feasibility Study	\$0	\$0	\$0
Phase 1 - Acquisition/RFP Development	\$0	\$0	\$0
Phase 2 - Statewide Configuration and Validation	\$0	\$0	\$0
Phase 3 - Local Implementation Preparation	\$578,874	\$0	\$578,874
Phase 4 - Pilot Implementation	\$0	\$0	\$0
Phase 5 - Statewide Rollout	\$4,283,651	\$0	\$4,283,651
<b>TOTAL FY16</b>	<b>\$4,862,525</b>	<b>\$0</b>	<b>\$4,862,525</b>
<b>Fiscal Year 2017</b>			
Feasibility Study	\$0	\$0	\$0
Phase 1 - Acquisition/RFP Development	\$0	\$0	\$0
Phase 2 - Statewide Configuration and Validation	\$0	\$0	\$0
Phase 3 - Local Implementation Preparation	\$0	\$0	\$0
Phase 4 - Pilot Implementation	\$0	\$0	\$0
Phase 5 - Statewide Rollout	\$4,865,863	\$0	\$4,865,863
<b>TOTAL FY17</b>	<b>\$4,865,863</b>	<b>\$0</b>	<b>\$4,865,863</b>

<b>TOTAL SC-CMS ESTIMATED COSTS</b>			
Feasibility Study	\$291,750	\$0	\$291,750
Phase 1 - Acquisition/RFP Development	\$674,189	\$0	\$674,189
Phase 2 - Statewide Configuration and Validation	\$6,646,313	\$0	\$6,646,313
Phase 3 - Local Implementation Preparation	\$1,265,446	\$0	\$1,265,446
Phase 4 - Pilot Implementation	\$766,426	\$0	\$766,426
Phase 5 - Statewide Rollout	\$13,358,180	\$0	\$13,358,180
<b>TOTAL</b>	<b>\$23,002,304</b>	<b>\$0</b>	<b>\$23,002,304</b>

Judicial Information System Committee Meeting

October 7, 2011

**DISCUSSION ITEM** –

**JISC Bylaw Amendment on Legislative Comment**

**I. BACKGROUND**

In the 2011 legislative session, the Board for Judicial Administration (BJA) asked the JISC Data Dissemination Committee to comment on some pending legislation. At that point, it was noted that the JISC did not have an official policy or process for comment on pending legislation. At its March 4, 2011 meeting, the JISC voted to have an official policy regarding legislative comment to the BJA in the future. They approved the following clauses:

1. The JISC should not support or oppose legislation directly to the legislature.
2. The JISC should respond to BJA requests for comment and will only recommend a position to the BJA.
3. The JISC will comment only on matters pertaining to JISC business.
4. If the legislation pertains to Data Dissemination Committee business, the Data Dissemination Committee will make recommendations directly to the BJA on behalf of the JISC.
5. For legislation on any other issues, the JIS Executive Committee will comment on behalf of the JISC.

These clauses are reflected in the attached amendment to the JISC Bylaws. According to the bylaws, the amendment must be proposed at least one meeting before the one at which a vote is taken. Therefore, this amendment could be voted on at the December 2<sup>nd</sup> JISC meeting.

**JUDICIAL INFORMATION SYSTEM COMMITTEE  
BYLAWS**

**Article One - Membership**

**Section 1:** Members of the Judicial Information System Committee shall be appointed by the Chief Justice in accordance with the Judicial Information System Committee Rules (JISCR).

**Section 2:** The Committee by the adoption of a motion may designate ex-officio members. Ex-officio members shall not vote.

**Article Two - Officers**

**Section 1:** In accordance with JISCR 2(c) the Supreme Court Justice shall be the chair and the members of the committee shall elect a vice-chair from among the members who are judges.

**Section 2:** The chair, in addition to any duties inherent to the office of chair, shall preside at each regular or special meeting of the committee, sign all legal and official documents recording actions of the committee, and review the agenda prepared for each meeting of the committee. The chair shall, while presiding at official meetings, have full right of discussion and vote.

**Section 3:** The vice-chair shall act as chair of the committee in the absence of the chair.

**Article Three - Meetings**

**Section 1:** Regular meetings of the committee shall be held bi-monthly pursuant to schedule available through the Administrative Office of the Courts. The chair may, at his or her discretion, cancel a meeting. Meetings of the committee and all standing or special committees may be held by teleconference, videoconference, or any technology that allows all persons participating to hear each other at the same time.

**Section 2:** The chair may call a special meeting at any time. Notice of a special meeting must be given at least twenty-four hours before the time of such meeting as specified in the notice. The notice shall specify the time and place of the special meeting and the business to be transacted.

**Section 3:** Agenda - The agenda for all regular meetings of the committee shall be recommended by the ISD Director and approved by the chair.

**Section 4:** Records of Committee Action - All business transacted in official committee meetings shall be recorded in minutes and filed for reference with the Administrative Office of the Courts. A staff member from the Administrative Office of the Courts must attend all regular and special meetings of the committee, and keep official minutes of all such

meetings. Official committee minutes will be distributed in a timely manner to all members and persons who request copies on a continuing basis.

**Section 5:** Parliamentary Procedure - Eight members of the committee shall constitute a quorum, and no action shall be taken by less than a majority of the committee members present. In questions of parliamentary procedure and other relevant matters not specifically provided for in these bylaws, the actions of the committee shall be conducted according to Robert's Rules of Order, newly revised.

**Section 6:** The chair shall have the right to limit the length of time used by a speaker for the discussion of a subject. Nonmembers may speak if recognized by the chair.

#### **Article Four - Fiscal Matters**

**Section 1:** Expenses - Members shall be compensated for necessary travel expenses to attend meetings of the JIS Committee, its Executive Committee, and the Data Dissemination Committee according to State of Washington travel regulations.

#### **Article Five - Amendments**

**Section 1:** Bylaws of the committee may be amended by majority vote of the committee provided such changes are proposed at least one meeting prior to the meeting at which the vote is taken. Bylaws may be revised by unanimous vote of the membership of the committee at the same meeting at which the revision is originally proposed.

#### **Article Six - Executive Committee**

**Section 1:** Purpose - The Judicial Information System Committee's (JISC) Executive Committee is created to act on behalf of the entire JISC regarding those matters specified herein between regular JISC meetings. It shall be the objective of the Executive Committee to facilitate communication among JISC standing committee chairs, ISD management, and the JISC chair; to improve the quality of work done by the JISC; and to serve as a voice of the user community on JIS issues.

**Section 2:** Powers and Responsibilities - The Executive Committee shall have the power and responsibility to act only on the following matters:

1. Review and approve JIS budget requests for submission to the legislature.
2. Review and recommend for submission to the full committee recommendations on governance and other policy matters.
3. Offering advice, oversight, and consultation to ISD management.
4. Representing the JISC in communications with the legislature and, as needed, with other interested groups. If requested by the Board for Judicial Administration, make recommendations on behalf of the JISC regarding legislation related to JISC business. The JISC does not support or oppose legislation directly to the legislature.
5. Other powers as assigned by the JISC.

**Section 3:** Composition and Leadership - The Executive Committee membership shall consist of the following drawn from the membership of the JISC:

The JISC Chair

The JISC Vice Chair  
The Administrator for the Courts  
A county clerk appointed by the JISC Chair  
One judge each from the court of appeals, the superior courts and the courts of limited jurisdiction, provided that the vice-chair shall be deemed the judge representing their level of court on the executive committee.

The JISC Chair shall be the Executive Committee Chair.

**Section 4:** Voting - Each member of the Executive Committee is entitled to one vote. Members present shall be a quorum. Majority vote shall decide all issues.

**Section 5:** Meetings - Meetings of the Executive Committee shall be called by the Chair of the JISC as needed.

### **Article Seven - Data Dissemination Committee**

**Section 1:** Purpose - The Judicial Information System Committee's (JISC) Data Dissemination Committee is created to act on behalf of the entire JISC to address issues with respect to access to the Judicial Information System and the dissemination of information from it.

**Section 2:** Powers and Responsibilities - The Data Dissemination Committee shall have the power and responsibility to act only on the following matters:

1. Review and act on requests for access to the JIS by non-court users in cases not covered by existing statute, court rule or JIS policy.
2. Hear appeals on administrative denials of requests for access to the JIS or for dissemination of JIS data.
3. Recommend to the JIS Committee policy on access to the JIS.
4. Recommend to the JIS Committee changes to statutes and court rules regarding access to court records.
5. If requested by the Board for Judicial Administration, make recommendations on behalf of the JISC regarding legislation affecting access to court records.
6. Other powers as assigned by the JISC.

**Section 3:** Composition and Leadership - The Data Dissemination Committee membership shall consist of the following drawn from the membership of the JIS Committee:

The JISC Vice Chair  
Two superior court judges  
Two court of limited jurisdiction judges  
A county clerk  
An appellate court representative  
A trial court administrator appointed by the JISC Chair

The JISC Vice Chair shall be the Data Dissemination Committee Chair.

**Section 4:** Voting - Each member of the Data Dissemination Committee is entitled to one vote. Members present shall be a quorum. Majority vote shall decide all issues.



**Section 5:** Meetings - The Data Dissemination Committee shall meet bi-monthly. The chair may, at his or her discretion, cancel a meeting. The chair may call a special meeting at any time. Notice of a special meeting must be given at least twenty-four hours before the time of such meeting as specified in the notice. The notice shall specify the time and place of the special meeting and the business to be transacted.

Judicial Information System Committee Meeting

October 7, 2011

## **REQUEST FOR JISC GUIDANCE –**

### **JIS Policy on Implementing Local Court Record Systems**

#### **I. BACKGROUND**

On March 28, 2011, Spokane Municipal Court made a written request for JISC and AOC approval to purchase JustWare, a commercial case management system. JISC Rule 13 requires local courts to request the approval of the JISC and AOC 90 days before beginning any local court record system project. The JISC appointed a work group to develop a JIS policy that provides guidance for the approval of local court systems.

The work group has met several times to develop a draft policy, which is attached to provide context and background. The work group has discussed some key questions, and would like some high level feedback on them from the JISC before completing the draft policy. At this point, the work group is not requesting feedback on the detailed language of the policy.

#### **II. REQUEST FOR GUIDANCE**

The work group would like some broad-based direction on the following questions:

1. Costs and Responsibilities –
  - Who pays for AOC costs associated with removing a court from the statewide system and setting up a data exchange?
  - Who pays for associated local costs?
2. Which system is the official court record—the statewide database or the local system?
3. What is the recourse if a court does not agree with an AOC interpretation of how a business rule should be applied in the system?

# JIS Policy for Approval of Local Court Systems

Adopted by the Judicial Information System Committee (JISC) on  
**Policy No: 5000 – P1**

Effective Date:

Revision Date:

Definitions (add hyperlink)

## Table of Contents

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## Purpose

There are two proposals for the first sentence:

One of the principal goals of the Judicial Information Systems Committee is that the applications within the JIS portfolio be the systems of choice for Washington courts.

The Judicial Information System Committee supports the applications within the JIS portfolio to be the systems of choice for Washington courts

The JISC recognizes that individual courts may have specific needs or business reasons that lead the court to using non-JIS systems and the JISC is committed to supporting those courts. This policy is intended to provide the guidance and conditions that support an individual court’s efforts to implement a non-JIS system, while ensuring the integrity of data and information upon which all courts depend.

~~The purpose of this policy is to establish the criteria and the process upon which the Judicial Information Systems Committee (JISC) will rely in considering requests for approval of local court record systems pursuant to JISCR 13.~~

## Authority

JISC Rule 1 provides for the Administrative Office of the Courts (AOC) to operate the Judicial Information System (JIS) under the direction of the JISC and with the approval of the Supreme Court pursuant to RCW 2.56. RCW 2.68.010 acknowledges the

authority of the JISC to “determine all matters pertaining to the delivery of services available from the judicial information system.” Pursuant to RCW 26.50.160, RCW 26.50.070(5), and RCW 7.90.120(1)(b), the JIS is the designated statewide repository for criminal and domestic violence case histories.

JISCR 13 gives the JISC specific responsibility and authority to review and approve county or city proposals to establish their own automated court record systems.

### **Definitions**

“Automated court record system” is any non-JIS electronic system that is the source of statewide data.

“Statewide data” is defined as the data elements contained in JIS Standard for Local Court Systems 5000-S1 (yet to be determined).

### **Scope**

This policy applies to any proposal by a court to implement an automated court record system.

### **Policy**

- a) It is the policy of the Judicial Information System Committee that any court wishing to establish their own automated court record system assumes the following responsibilities.
  - 1) Any cost required for the state to remove the court from the JIS and implement a data exchange shall be borne by the county or city implementing a local system.
  - 2) Based on the IT Governance process established by the JISC, the local court must continue to enter its information into the JIS until such time that AOC has available resources to remove the court from JIS and implement an automated data exchange. AOC resource availability is based on the priorities established by the JISC and the skill set required to do the work.
  - 3) The court must maintain a local law table consistent with the JIS statewide law table.
  - 4) The court must comply with legislative mandates.
  - 5) When the statewide JIS system changes, the local automated record system must comply with those changes, at the expense of the local court.

- 6) The local court must maintain revenue collection, distribution, and reporting equivalent to the JIS functions and are subject to state audit.
  - 7) The court is responsible for its own back-up and disaster recovery plan.
  - 8) The local automated court record system must meet the criteria outlined in the JIS Standard for Local Court Systems 5000-S1 (to be completed), including data sharing, data reporting, data security standards, person ID and person business rules, and enterprise architecture technical requirements.
  - 9) Help Desk assistance, staff training, and other services related to the local court automated records system are the responsibility of the local court.
- b) The following conditions apply to the provision of services by AOC.
- 1) The city or county data will not be available for the Attorney Search and Find My Court Date functions on the statewide public web site.
  - 2) If there is a difference of opinion between the local court and AOC regarding the distribution of funds, changes to the law table, or the application of data quality rules adopted by the JISC any other operational issue, AOC's position will prevail, subject to review by the JISC upon request by the presiding judge of the local court.

### **Maintenance**

The JISC will review this policy on a regular basis and may amend it at any time.

The Supreme Court  
State of Washington

MARY E. FAIRHURST  
JUSTICE  
TEMPLE OF JUSTICE  
POST OFFICE BOX 40929  
OLYMPIA, WASHINGTON  
98504-0929



(360) 357-2053  
FAX (360) 357-2103  
E-MAIL J\_M.FAIRHURST@COURTS.WA.GOV

September 21, 2011

Honorable Mary C. Logan  
Presiding Judge,  
Spokane Municipal Court  
1100 W. Mallon  
Spokane, Washington 99260

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

Dear Judge Logan:

Thank you for your letter of August 16, 2011 informing me of your court's decision to proceed with the implementation of a local court case management system.

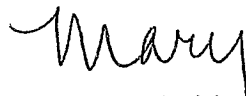
Judicial Information System Committee (JISC) Rule 13 gives the JISC specific responsibility and authority to review and approve county or city proposals to establish their own automated local court record systems. However, the JISC acknowledges that there is not currently a corresponding policy in place to provide the necessary guidance and conditions to support an individual court's efforts to implement a non-JIS system, while ensuring the integrity of data and information upon which all courts depend.

The JISC has a subcommittee that is currently working on development of a JIS Policy on Local Court Systems. But since a policy is not currently in place, the JISC does not feel justified in requesting your court to wait until such time as the policy is adopted and the supporting processes, procedures, and standards are put in place. Therefore, the JISC is not in a position at this time to either approve or deny your request.

However, the JISC feels it is prudent to inform you of the possible risks associated with implementing a local court system that has not been vetted in advance by the AOC to certify that it meets a predetermined set of business and technical standards. If problems are discovered at a later time, it could potentially be quite costly to you to make the needed corrections.

At such time in the future, when all the necessary technology components are in place, the JISC looks forward to being able to work with your court on automating the data exchange between systems. We wish you success with your system implementation.

Very truly yours,

A handwritten signature in cursive script, appearing to read "Mary".

Mary E. Fairhurst

cc: JISC Members  
Jeff Hall, State Court Administrator  
Vonnie Diseth, CIO/ISD Director

Judicial Information System Committee Meeting

October 7, 2011

**DECISION POINT – JIS Baseline Service Level Workgroup Recommendations**

**MOTIONS:**

- I move to adopt recommendations 1 through 8 of the JIS Baseline Service Level Workgroup, as contained in the JIS Baseline Services Report and summarized below.

**I. BACKGROUND**

Over the years, the JISC has discussed the issue of what services should be provided statewide, and what services should be provided locally. In May, 2010, the JISC generally agreed that there should be a centralized system to provide a basic level of service to all courts in the state, and that local courts with more sophisticated systems should be able to provide and receive data from the statewide database through data exchange. They also agreed that the basic level of service had not yet been decided. On June 25, 2010, the JISC established a workgroup to accomplish two goals:

1. Determine which business functions should be made available centrally to all courts in the state (with JIS funding), and which functions should be provided locally.
2. Develop a set of criteria that will be used to guide future investments.

The Baseline Service Level Workgroup was formed with the following JISC members: Larry Barker, Linda Bell, William Holmes, N.F. Jackson, Rich Johnson, Barbara Miner; and shared representation from AOC: Jeff Hall and Dirk Marler. The workgroup added a third goal:

3. Develop a repeatable process that can be used to apply the criteria in future analyses of business services.

The workgroup met 13 times between September, 2010 and July, 2011, and arrived at the findings and recommendations contained in the Judicial Information Systems Baseline Services Report, attached.



The workgroup unanimously identified 40 high-level sub-functions as central. There were 16 additional services on which the workgroup could not reach unanimous agreement. The workgroup suggested the following options for JISC consideration:

1. Adopt the workgroup recommendations as they stand,.
2. Make JISC decisions on the undecided services.
3. Solicit formal majority and minority opinions for each of the undecided services for future JISC deliberation and decision.
4. Authorize additional study, which could include: Clarification of underlying assumptions, additional objective analysis by AOC, further division of the services into greater detail, or group discussion of each of the criteria as they apply to the services.

## II. RECOMMENDATIONS

The workgroup makes the following recommendations:

1. The 40 high-level services unanimously identified by the workgroup should be adopted as baseline services. (See Appendix F)
2. These baseline services should be referenced in planning of all court-information technology projects.
3. Both the baseline services and the associated methodology should be reviewed on a regular cycle.
4. The ten criteria and associated measurement questions should be adopted for future examination of baseline services. (See Appendix A)
5. Criterion #1 (mandated requirements) should be examined as crucial context for baseline-service identification, but not employed directly in the scoring grid.
6. This methodology, with appropriate revisions, should be employed to impose rigor, precision, and objectivity on the process of baseline-service identification
7. Guidelines and principles developed in this effort should be adopted for use in future baseline-service investigations.
8. The workgroup recommends that the JISC authorize it to do additional study on the 16 not-unanimous services, as well as further refine the criteria and services by court level

# Judicial Information System Baseline Services

JISC Workgroup on Baseline Services:  
Report to JISC

October 7, 2011

# JISC Charge to Workgroup

- Define the basic level of service that should be provided centrally (at the state level).
- Develop a set of criteria to guide future IT investments.

# Workgroup Members

- Larry Barker
- Linda Bell
- William Holmes
- N. F. Jackson
- Rich Johnson
- Barbara Miner
- AOC: Dirk Marler / Vonnie Diseth / Jeff Hall

# Workgroup Goals

1. Establish baseline set of JIS (centrally) provided services
  - Maximize benefit to court community
  - Make it easier for local jurisdictions to meet court business needs
2. Develop criteria to identify centralized ownership of business services
3. Develop a repeatable process

# Business Services

- First challenge: identify court business services
- Workgroup defined 11 functions, each composed of 2 or more sub-functions
- Example: Calendar –
  - Court calendar
  - Proceedings
  - Notification
  - Resources

# Criteria

1. Mandated Requirements
2. Continuity of Service
3. Economies of Scale
4. Common Usage by Courts
5. Statewide Information
6. Common Information for Consistent Decision Making
7. Equity Regardless of Capability
8. Local Control
9. Local Court Rule or Practice
10. Funding Source

# Repeatable Process

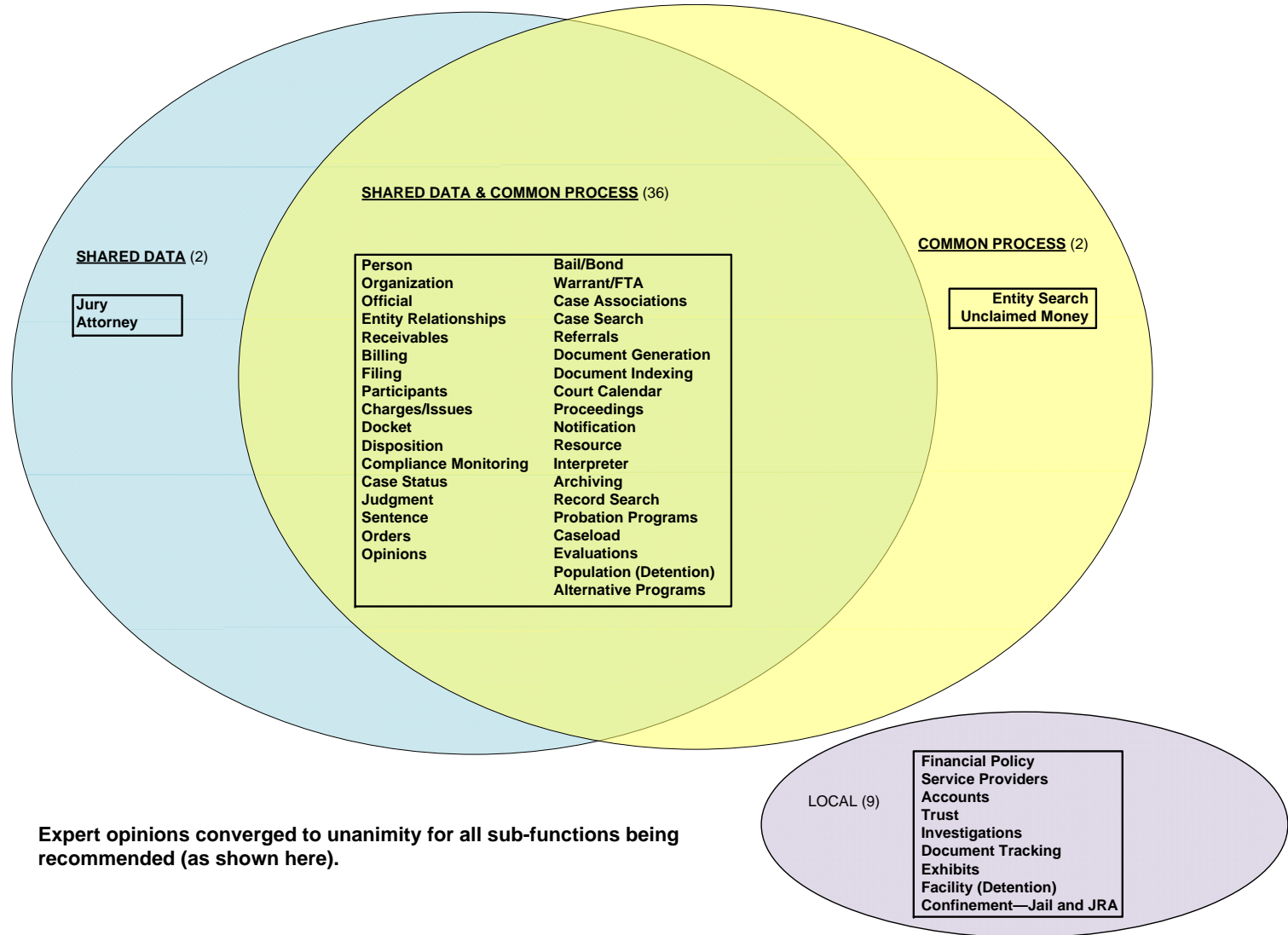
- Successive iterations, to:
  - Highlight areas of confusion
  - Clarify definitions
  - Promote learning and hone analysis
- Detailed, individual scoring
- Discussions and voting
- Expert viewpoints converged toward best answer



# Common Frame of Reference

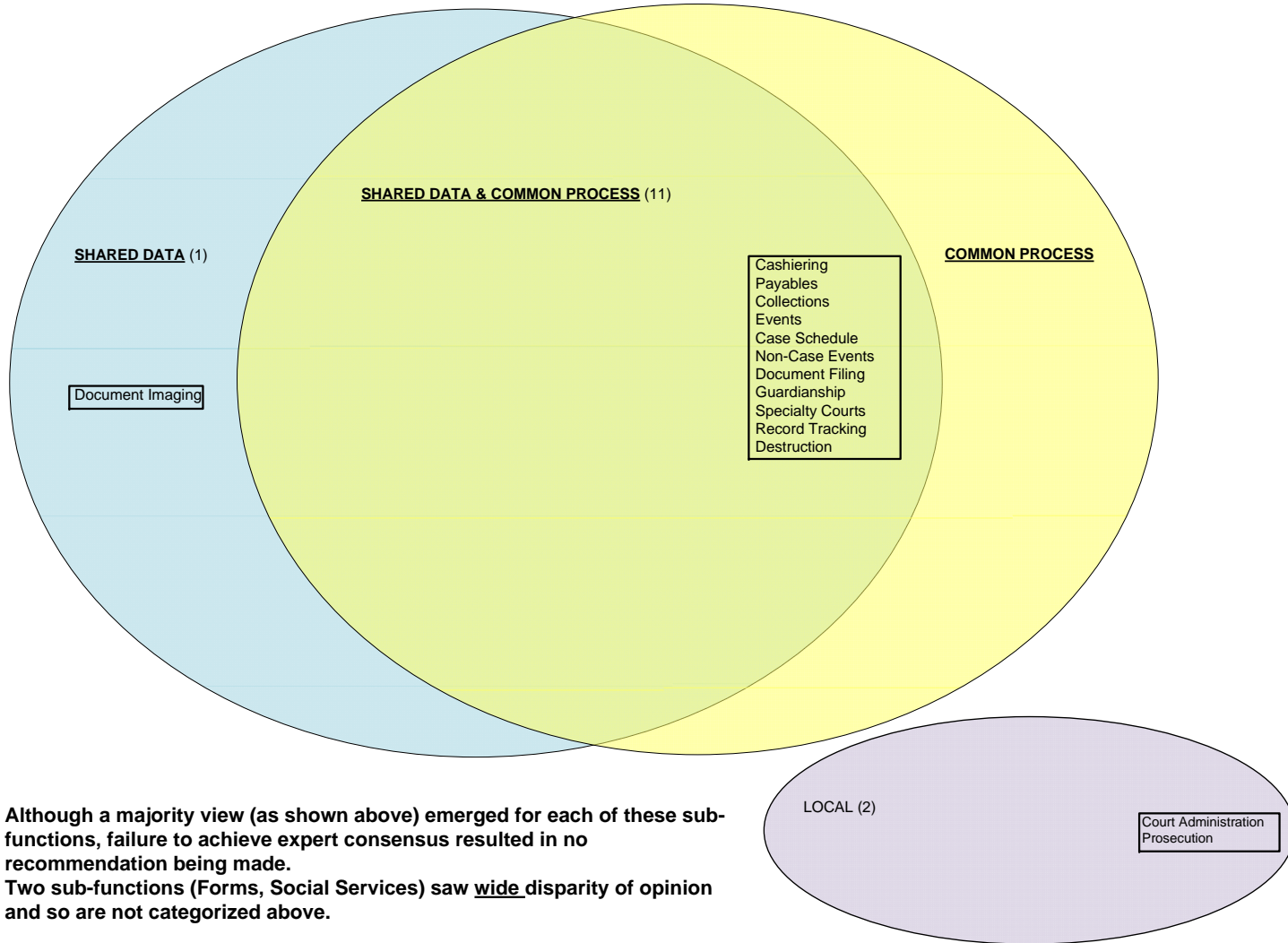
- Centralization may indicate: (1) Shared Data, (2) Common Process – or Both
- Guidelines and principles:
  - Needs of all levels of court
  - Central = shared
  - Common process if common across one court level
  - Common denotes capability (not configuration)
  - Vision / desirable future state

JIS BASELINE SERVICES – SUB-FUNCTIONS **RECOMMENDED** FOR ADOPTION



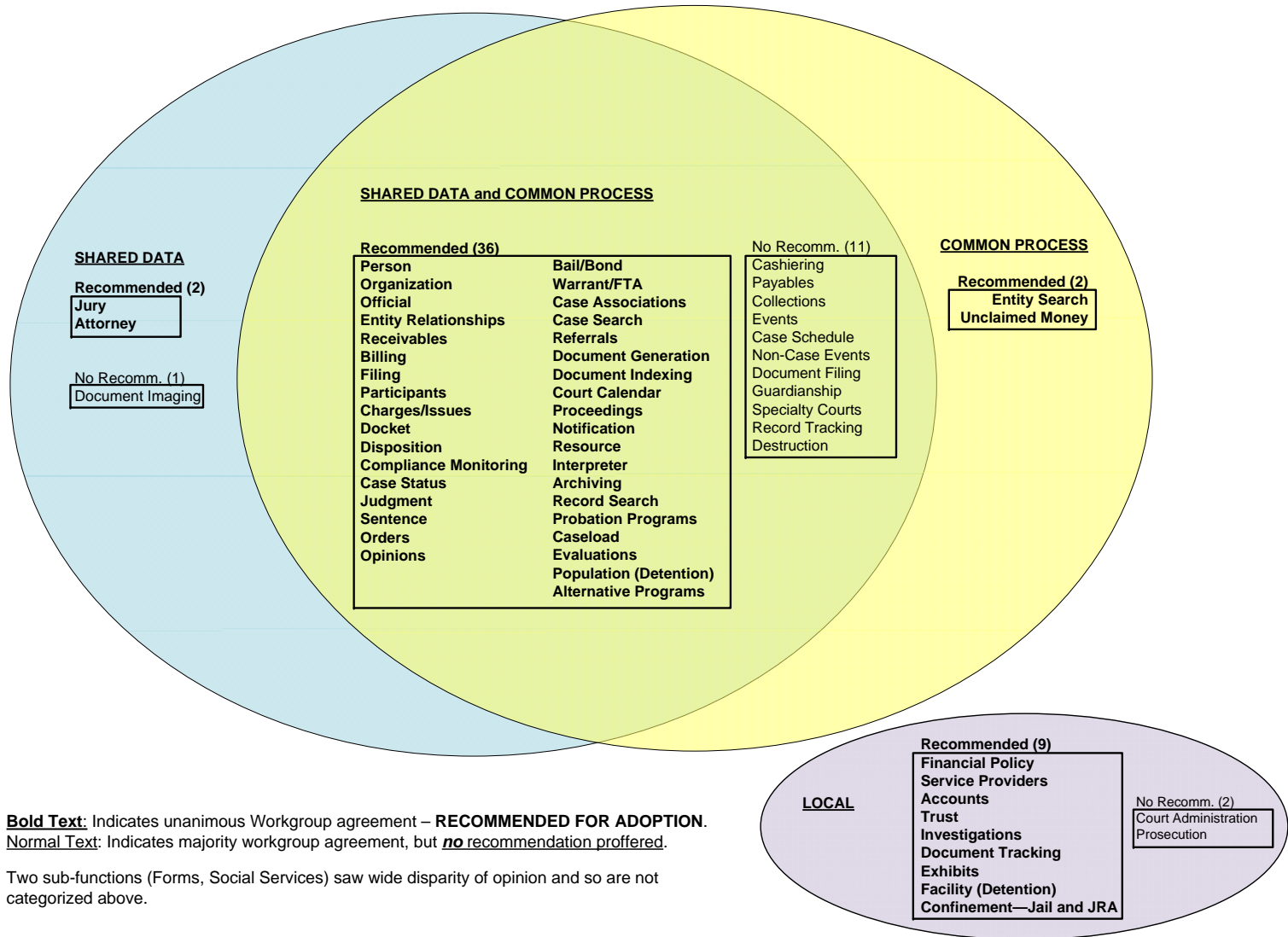
Expert opinions converged to unanimity for all sub-functions being recommended (as shown here).

JIS BASELINE SERVICES – SUB-FUNCTIONS FOR WHICH **NO RECOMMENDATION** IS SUBMITTED



Although a majority view (as shown above) emerged for each of these sub-functions, failure to achieve expert consensus resulted in no recommendation being made. Two sub-functions (Forms, Social Services) saw wide disparity of opinion and so are not categorized above.

JIS BASELINE SERVICES – POTENTIAL (Subject to Adoption of Recommended Items and Action on “No Recommendation” Items)



**Bold Text:** Indicates unanimous Workgroup agreement – **RECOMMENDED FOR ADOPTION.**

**Normal Text:** Indicates majority workgroup agreement, but no recommendation proffered.

Two sub-functions (Forms, Social Services) saw wide disparity of opinion and so are not categorized above.

# Recommendations

- Adopt as JIS baseline the 40 sub-functions unanimously identified
- Reference baseline in planning of IT projects
- Routine review of baseline & methodology
- Employ methodology to impose rigor & objectivity to future examinations
- Adopt 10 criteria (& measurement questions)
- Adopt guidelines & principles

# No-Recommendation Items: Options

- Adopt only recommendations, as they stand
- Make JISC decisions, informed by Workgroup votes & rationale (majority info & Appendix E)
- Solicit majority and minority opinions
- Authorize additional study, such as:
  - Break sub-functions into sub-components
  - Analyze by court level
  - Detailed scoring against criteria by the group (vs. individuals)

# Stakeholder Feedback

- Recognition of size of effort, & appreciation
- Insufficient review time
- Possible conflict with CMS requirements
- Needs scrutiny/tailoring by court level
- Specific sub-functions:
  - Universal cashiering is long-standing CLJ request
  - Add Indigent Defense as Programs sub-function, given new court rule on attorney caseloads.
  - Add vehicle information as Entity sub-function.

# QUESTIONS?





# Judicial Information System Baseline Services Report #

By

JISC Workgroup on Baseline Services

FINAL  
9/22/2011

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## Message from the JISC Baseline Services Workgroup

Under direction established by the Judicial Information System Committee (JISC), this Workgroup (created June 25, 2010) set about to determine which business functions should be made available centrally to all courts in the state (with JIS funding), and which functions should be decentralized (provided locally). This identification of baseline services provides a crucial foundation for the building of information systems that serve Washington's court-business needs.

We initially convened and began working in September 2010, and the work has proven both challenging and informative. We trust that the JISC and Washington courts will find that it has resulted in useful guidance for the development of court information technology – both in the identification of basic service needs, as well as in the development of a methodology and criteria to objectively make service determinations in the future as business processes and automation evolve.

Key challenges in our work included envisioning the future state (un-mired from current practices which may or may not serve the courts well in coming years), and looking across the court system (unlimited by the boundaries of the court levels we individually serve). We have made every effort to consider stakeholder input and to balance the needs of courts of differing sizes (with varying levels of resources).

The recommendations which are presented in this report are intended to provide guidance in the development of IT solutions which directly serve court business needs. These are submitted as a framework; additional effort will be required to analyze the services and service components which comprise the sub-functions discussed here. Additionally, continual examination will be necessary to develop and refine the future-state vision as court business evolves and the future unfolds.

Respectfully submitted,

Larry Barker  
Linda Bell  
William Holmes  
N. F. Jackson  
Rich Johnson  
Dirk Marler  
Barbara Miner

# Executive Summary

## Goals

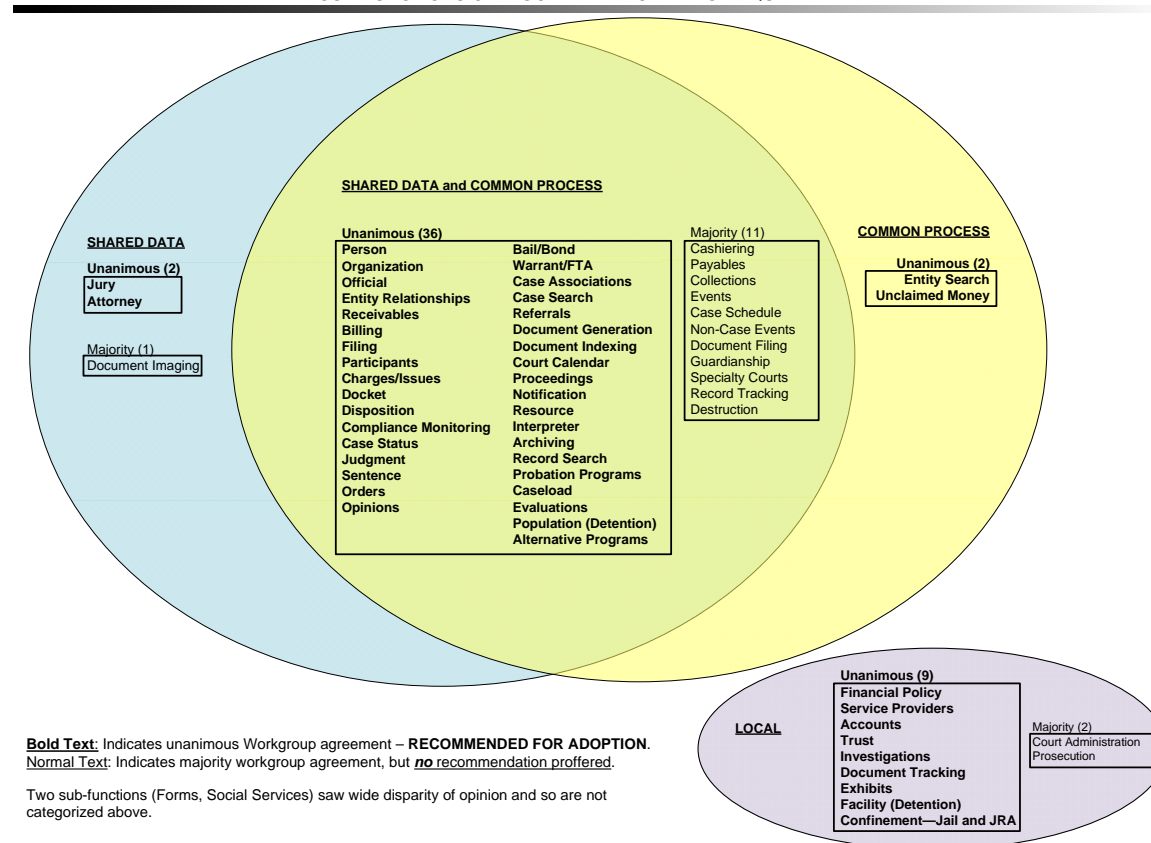
In its strategic planning efforts throughout recent years, the Judicial Information System Committee (JISC) has recognized the need to identify baseline services to guide development initiatives. The JISC established the JIS Baseline Services Workgroup in June 2010. The Workgroup began working in September 2010 and, guided by JISC’s direction, set the following goals:

- a. Establish a baseline set of AOC-provided services that provides maximum benefit to the court community, and makes it easier for local jurisdictions to meet their business needs.
- b. Develop criteria to identify centralized ownership of future business services based on state statutes and mandates, economies of scale, and funding models, as well as other appropriate standards.
- c. Develop a repeatable process that can be employed to apply the criteria in future analyses of business services.

## Baseline Services

Over the course of several meetings, the workgroup identified eleven distinct court business functions, with each function composed of two or more business sub-functions. Each of these was carefully defined, as presented on page 9. Of those, the sub-functions shown in bold (indicating unanimous decision) in the following figure were determined to be baseline services.

SUB-FUNCTIONS CATEGORIZED BY SHARING REQUIREMENT



## **Criteria**

The baseline services were identified based on a set of criteria which the Workgroup established to ensure objective and consistent analysis of each sub-function:

- (1) Mandated Requirements
- (2) Continuity of Service
- (3) Economies of Scale
- (4) Common Usage by Courts
- (5) Statewide Information
- (6) Common Information for Consistent Decision Making
- (7) Equity Regardless of Capability
- (8) Local Control
- (9) Local Court Rule or Practice
- (10) Funding Source

## **Repeatable Process**

A modified Delphi approach was developed, in which examination was undertaken by the court experts in four successive iterations. This process maximizes the opportunity for achieving expert consensus, thereby converging to the best answer.

The first two iterations required detailed, independent scoring by Workgroup members of questions addressing each criterion as it applies to each of the 64 (eventually 65) sub-functions. Iterations 3 and 4 convened the experts to reflect again on each sub-function -- this time in a structured group-discussion-and-voting format aimed at illuminating earlier insights through the pooled expertise and rationale of the full group. Two innovations were introduced to promote a shared frame-of-reference:

- (1) Delineation of centralization [*hence, voting*] options into: (a) shared data, (b) common process, (c) both shared data and common process, or (d) neither data nor process.
- (2) Formalization of guidelines and principles which had been emerging throughout Workgroup discussions:
  - Results from previous iterations should inform, but not determine, votes in the current iteration.
  - The goal is to look to the needs of other court levels, as well as one's own.
  - "Central" can mean simply shared – it needn't include storage in a state repository. (Example: Images can be stored locally, but be accessible for statewide viewing.)
  - A common process applies if appropriate for at least a single court level.
  - "Common" denotes shared capabilities – not identical use of those capabilities. (Example: Common calendaring functionality can be configured locally.)
  - A determination of common data or common process reflects the vision for Washington's courts – a desirable future state.
  - Future examination of services and service components within sub-functions may be necessary for resolving continued disagreement regarding centralization needs.

## **Recommendations**

**Recommendation #1:** The 40 high-level sub-functions unanimously identified by the Workgroup should be adopted as baseline services (2 shared data, 2 common process, 36 shared data and common process). See Appendix F.

**Recommendation #2:** The adopted baseline services should be referenced in planning of all court-information technology projects.

**Recommendation #3:** Routine review of both adopted JIS Baseline Services and the associated methodology should be undertaken on a regular cycle.

**Recommendation #4:** The ten criteria and associated measurement questions (Appendix A) should be adopted for future examinations of baseline services.

**Recommendation #5:** Criterion #1 (Mandated Requirements) should be examined as crucial context for baseline-service identification, but not employed directly in the scoring grid.

**Recommendation #6:** This methodology, with appropriate revisions, should be employed to impose rigor, precision, and objectivity on the process of baseline-service identification.

**Recommendation #7:** Guidelines and Principles developed in this effort should be adopted for use in future baseline-service investigations.

**Options for JISC Regarding the 16 Undecided Sub-Functions:** The Workgroup did not arrive at a recommendation for the 16 sub-functions on which agreement could not be reached. Several options are suggested for JISC consideration, including: adopting of the report and recommendations as they stand; making JISC decisions on the 16 undecided items, informed by this report; soliciting formalized majority and minority opinions for each of the unresolved sub-functions; and authorizing additional study.

## Introduction

### Background

The information systems supporting the Washington State Courts have evolved since the early 1970's from simple, single-jurisdiction, centrally-managed, stand-alone systems to an increasingly complex network of multi-jurisdictional, interdependent systems, managed and operated across multiple organizations. The evolution of these systems has been driven by the combination of centrally provisioned systems developed by the Administrative Office of the Courts (AOC) and independent development by local jurisdictions.

As part of various strategic planning and development initiatives over the years, the Judicial Information System Committee (JISC) has worked on the issue of what systems should be provided centrally and what systems should be locally provided or supported indirectly. These efforts have generally prescribed direction; however, there has been no consistent outcome in the decisions, nor development of criteria for making consistent decisions in the future. The JISC identified the need to do so in the *Strategic Plan Development for the State of Washington, Judicial Information System Committee*. The final report, dated May 2008, stated:

- The AOC and the JISC together should develop and define basic level functionality for Case Management Systems in Washington. Approaches addressing enhancements for larger jurisdictions should be developed.
- The issue of what services the AOC will provide for others in the justice system (e-tickets, e-filings) should be addressed as well.

Renewed discussion of the need to resolve these issues began in 2010. On March 5, 2010, in the context of IT Governance guidance, it was suggested that the JISC determine whether the general JIS focus should be on supplying applications with a base level of functionality for court business, or on maintaining a central data repository and data exchanges with local court applications. On May 19, the Committee discussed the basic model for focusing future IT investments. The committee also discussed the development of criteria to guide decisions on which court-business functions should be provided statewide (centralized) and which should be local (decentralized). The committee generally agreed on the following points:

- There should be a centralized system that provides a basic level of service to all courts in the state.
- Local courts with more sophisticated systems should be able to provide data to and receive data from the statewide database through data exchange.
- Defining the basic level of service has not yet been decided.
- The JISC should develop a set of criteria for deciding which business functions should be provided at the state level with JIS funding, and which should be maintained locally.
- Relative to the current effort to acquire calendaring and caseflow management functionality, the JISC needs more information about economies of scale and the cost/benefit of the two approaches before deciding on the basic model.

The JISC took formal action on June 25 when a motion was unanimously passed that the JISC:

- Maintain the current preference for centralized statewide JIS systems that provide a basic level of service to all courts in the state.
- Continue to develop data exchanges to connect local court applications with the statewide applications and databases.

- Define the basic level of service as the services currently invested in and provided by existing AOC JIS applications, data exchanges and services plus any customer requested changes approved for those systems, data exchanges and services.
- Work toward adopting a set of criteria to aid in future determinations of which business functions should be supported with statewide IT solutions and which functions should be supported with local IT solutions.

A second motion was also passed at this meeting creating a subcommittee to address bullets three and four of the motion above. A workgroup was formed from JISC volunteers, and the first meeting was held on September 21, 2010. Through July 2011, Workgroup members engaged in extensive independent analysis, and convened 13 times to deliberate and consolidate their individual assessments, arriving at the findings and recommendations reported here.

During September 2011, this report was vetted to stakeholder groups, including: the Superior Court Judges' Association (SCJA), the District and Municipal Court Judges' Association (DMCJA), the Association of Washington Superior Court Administrators (AWSCA), the Washington Association of Juvenile Court Administrators (WAJCA), the Washington State Association of County Clerks (WSACC), the District and Municipal Court Management Association (DMCMA), the Misdemeanant Corrections Association (MCA), the Court of Appeals and the Supreme Court. Other groups invited to review the report include the Access to Justice Board, and the Gender and Justice Commission. Feedback received from these groups is being presented with this report to the JISC.

## Goals

Guided by the JISC directive, the Workgroup established the following goals to be achieved by the project:

- a. **Establish a baseline set of services that:**
  - (1) Provides maximum benefit to the court community
  - (2) Makes it easier for local jurisdictions to meet their business needs
- b. **Develop criteria to identify centralized ownership of future business services based on statutes and mandates, economies of scale, and funding models, as well as other appropriate standards.**
- c. **Develop a repeatable process that can be employed to apply the criteria in future analyses of business services.**

## Methodology

### Services

One of the Workgroup's first tasks was to develop a comprehensive set of core court business services. These were to include all business services, regardless of whether they are (or might be) provided centrally or locally. As a starting point for Workgroup discussion, AOC staff developed a draft set of services compiled from various sources, including the National Center for State Courts, AOC Data Administration's Information Strategy Plan, and subject-matter expertise available within AOC.



Over the course of several meetings, the Workgroup defined eleven distinct court business functions, with each function composed of two or more business sub-functions. Initially, a total of 64 separate business sub-functions were defined within the eleven court business functions; as work proceeded, a 65th was eventually added. (See table below.)

AOC staff began to further decompose sub-functions into services and service components. The resulting list exceeded 350 items. Discussion within the Workgroup concluded that this level of service definition was overly detailed. It was determined it would be appropriate to focus on the eleven functions with 64 (eventually 65) sub-functions. Future technology development will likely require more granular analysis, and that will be enabled by the guidance and framework (criteria and methodology) established in this project. The functions and sub-functions, with their corresponding definitions, are presented in the following table:

### Functions and Sub-Functions, Defined

<b>COURT</b>	The Court function includes the sub-functions needed for managing and supporting the Court in carrying out its business mission.
COURT ADMINISTRATION	The Court Administration sub-function involves services needed for managing and supporting Court operations. Services include case management as well as management of IT and HR. Additionally services include development, revision, publication and distribution of court rules, policies, procedures and forms. Guardianship and interpreters are <u>not</u> included here. (See: Programs). (Although Court Administration also needs calendaring, Calendars are considered as a separate function; exclude here.)
FINANCIAL POLICY	This sub-function supports the accounting and financial operations of a court. Services include budgeting and expense management; service fee and chart of account development; and management of financial programs.
SERVICE PROVIDERS	The Service Provider sub-function focuses on management of external organizations (third party commercial and/or public agencies) providing various kinds of service to the courts. Types of services provided include indigent defense, psychological evaluation, drug testing, interpretation, counseling, and training. Services provided under this sub-function focus on qualification, contract management and payment of providers.
JURY	The Jury sub-function involves all services related to master list creation, summoning prospective jurors, selection, empanelment, service postponement, tracking, and payment.
<b>ENTITY</b>	The Entity function captures all sub-functions associated with managing persons, organizations and officials. This includes searching, identification, adding, deleting, associating, and other person related processes in the court environment. Entities include judicial officers, individuals, businesses, organizations, victims, litigants, parents, attorneys, defendants, and court staff.
PERSON	The Person sub-function focuses on the services involved in identifying, adding, and maintaining person records. Person records include personal identifiers and address information. A person is any entity associated with a court case or court activity; this includes individuals, businesses and organizations.

ORGANIZATION	The Organization sub-function focuses on services needed for creating and maintaining organization person records. -Organization types include court, city, county, law enforcement, state agency, school district and detention facility.
OFFICIAL	This sub-function provides for creation and maintenance of officials' person records. An official person record must exist in the system before that person can be granted security as a system user or be associated with a case as a participant. Court users, judicial officers, law enforcement officers and probation officers are types of JIS officials.
ATTORNEY	The Attorney sub-function focuses on creation and maintenance of attorneys as a type of official. Attorney information is updated automatically from the Washington State Bar Association.
ENTITY RELATIONSHIPS	The Entity Relationships sub-function covers the services needed to tie persons together indicating some form of relationship and maintaining that relationship. These are family / household relationships, i.e. parent and child. This sub-function also includes activities needed for AKA maintenance.
ENTITY SEARCH	The Entity Search sub-function allows for the searching for persons based on a variety of variables. Services provided include phonetic search, alphabetic search and search of DOL records.
<b>FINANCE</b>	The Finance function includes all sub-functions that support the accounting and financial processes at a Court.
CASHIERING	The Cashiering sub-function addresses the collection of funds, issuing of receipts, cashier closeout and cashier management. Funds are collected from parties and their representatives who submit payments required by the court. Receipting (cashiering) functions can be performed at the cashiering station at the front counter in the clerk's office if payments are made in person or electronically or by mail. Funds received include trust deposits, service fees, fines and bail payments.
ACCOUNTS	This sub-function addresses the services associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts) and performing ancillary tasks such as accruing interest, reconciling accounts, producing journals and reports and other end of period activities.
PAYABLES	The Payables sub-function focuses on the activities at a court related to the disbursement of case-related funds to owed parties (e.g., restitution). Payables disbursement consists of trust payments, remittances to government entities, and returns to payees.
RECEIVABLES	The Receivables sub-function focuses on the services at a court related to the creation and management of accounts, most often case related, for money owed to the court. Services include the creation of payment schedules, application of funds to amounts due and monitoring overdue accounts. Unlike the separate sub-function, Trust, receivables are retained and are subject to the appropriate splits (law library, JIS, PSEA, etc.).
TRUST	This sub-function involves services associated with funds deposited with the Clerk by litigants, to be held in trust during the litigation or for payment to a beneficiary by court order. These funds do not belong to the county and must be deposited in a separate Clerk's trust fund in accordance with the statutes and rules. Services include establishing and maintaining trust accounts, accruing interest, reconciling accounts and managing deposits, transfers and disbursement.
BILLING	The Billing sub-function includes services needed to bill parties who owe money to the court.

COLLECTIONS	The Collections sub-function focuses on the services related to account receivable collections. This includes sending notifications to owing party, assigning A/R to a collection agency, tracking payment history, and collections management.
UNCLAIMED MONEY	This sub-function includes services necessary for escheating non-restitution unclaimed funds to the State Department of Revenue and remittance of unclaimed restitution to the County Treasurer. Services include identification of eligible money, modifying eligible trust accounts, and disbursing funds to the DOR or County Treasurer.
<b>CASE</b>	The Case function includes all sub-functions needed to process and manage Court cases.
FILING	The Filing sub-function focuses on the services needed to create a new case. Services include receipt and acceptance of initial case documents, identification of case type, assignment of case number, creation of case title, and entry of the case identifier into a searchable repository (such as JIS). Initial case documents may be received electronically or in hard copy.
PARTICIPANTS	The Participants sub-function provides services for assigning specific people to cases. Assigning participants links persons, organizations and officials (created through Entity function) to actual cases. Participant roles in the case are identified. Services include the addition, maintenance, removal of parties to a case.
CHARGES / ISSUES	This sub-function includes the services necessary for entering charges or issues related to a case. For criminal cases this service involves recording and amending an information and charges included in it. For non-criminal case the service provides for recording and tracking the issues or dispute category for the case.
DOCKET	The Docket sub-function provides the services needed in the creation and maintenance of the legal record of court actions taken and documents filed in a particular case. Docket includes a record of document received and issued, and future and past events such as hearings and other proceedings.
DISPOSITION	The Disposition sub-function supports the decision making process in the courts. It is made up of the services needed to enter the resolution and completion outcomes of a case.
EVENTS (including Compliance Deadline Management)	The Events sub-function focuses on those services that support management of case events, and involves services necessary to track and enforce due dates for events in a case as set forth on the case schedule. (Defendants' compliance with sentences/orders is not included. See: Compliance Monitoring.). This includes confirmation of notice/warrant service, all case/court papers have been filed timely, and that all actions have been completed before a participant steps into the court room. These services help facilitate all the prehearing/pretrial events. These services revolve around the documentation of events (record the outcomes) of hearings: actions taken, and follow up on actions to perform. Recorded outcomes of events include clerk minutes, capturing the outcome of the event (Continuance, Stricken, Court Order, etc.) in a searchable/selectable format, not just a note in a docket entry. This sub-function includes events necessary to track case-management status (active/suspense) history.
CASE SCHEDULE	This sub-function focuses on services supporting assignment of a case to a differential management track or time sensitive processing and producing a schedule listing the events and dates by which events will occur.
COMPLIANCE MONITORING	This sub-function supports the tracking, monitoring, and recording of the compliance of pre-and post disposition orders, sentencing, conditions, treatment options, and other items that are required to be completed.

CASE STATUS	This sub-function addresses services necessary for the automatic tracking and logging of periods of case activity and periods of case suspension (time when the case is out of the court's control, such as when it is stayed, or on warrant, appeal, in mediation, or in arbitration). Case status provides for appellate time-in-process reporting, and allows for trial-court case management in compliance with the case processing time standards. Services under this sub-function also support recording the stage at which a case is in processing, such as active, stayed, resolved, complete or closed.
JUDGMENT	This sub-function focuses on services needed to record information about the court's findings and judgment for a case. Includes both criminal and civil judgments. Services support electronic judgment documents, electronic distribution and creation and maintenance of a judgment index.
SENTENCE	The Sentence sub-function involves services to produce and maintain sentence information that shows for each case, defendant and charge the terms and conditions of the sentence imposed. Additionally, services support electronic sentencing document and electronic distribution to external recipients as needed.
ORDERS	This sub-function provides services for the creation, display and distribution of court orders resulting from hearings and other judicial proceedings. Services support the ability for a judge to approve (sign) orders electronically and to electronically distribute court orders. This sub-function includes entry of pertinent data from orders (such as DV) that must be available for reference by judges statewide.
OPINIONS	The Opinion sub-function addresses the services associated with managing and tracking the opinion process from initial assignment through drafting, circulation among justices, release and publication. This sub-function also addresses support for electronic opinions and opinion version control.
BAIL / BOND	This sub-function includes the services associated with bail management (e.g. collecting bail money, bail bonds, and producing receipts and reports).
WARRANT / FTA	The Warrants / FTA sub-function involves services for issuance and tracking of warrants and FTA orders. Services for warrants support issuance, tracking, and distribution of warrants to law enforcement agencies. Services of FTA support selection of FTAs, issuance of orders and transmission of case information to DOL.
CASE ASSOCIATIONS	The Case Associations sub-function includes the services needed for establishing and maintaining case to case and case to person relationships. Activities include maintaining conflict of interest information, judge assignment history and attorney assignment history. Further, support is provided for linking cases.
CASE SEARCH	The Case Search sub-function provides the ability to search for case information.
PROSECUTION	The prosecution sub-function includes all activities performed at the prosecutor's office to research, investigate, file and prosecute cases.
<b>NON-CASE</b>	The Non-Case function includes sub-functions to manage activities in the court that are not case-related.
INVESTIGATIONS	The investigations sub function provides services for supporting investigations and court processing of search warrants and other non-case activities.
REFERRALS	The Referrals sub-function involves the services for creating, tracking and managing offender and non-offender referrals. Referrals are either filed (case), not filed, or diverted.

NON-CASE EVENTS	This sub-function involves services that support pre-case filing activity such as first appearances and probable cause.
<b>DOCUMENTS</b>	The Document function includes all sub-functions related to the processing of physical documents (paper or electronic) in the court environment.
DOCUMENT GENERATION	The Document Generation sub-function addresses services to produce a number of standard, pre-formatted documents. Some of these documents are warrants, orders, notices, summons, and subpoenas. Services support generating paper and electronic documents. This sub-function should interface with the Docket and Proceedings sub-functions.
DOCUMENT FILING	The Document Filing sub-function focuses on the services needed to receive a physical document (paper or electronic) from a party to a case. Services include recording on the document the data of receipt and filing the document in the appropriate location (paper file or electronic repository). An entry is made using services under the Docket sub-function when a document is received.
DOCUMENT TRACKING	This sub-function focuses on the services associated with recording and updating the status of all sent or served documents.
DOCUMENT IMAGING	The Document Imaging sub-function involves services associated with creating and retrieving an image of a paper document. Service includes ability to link the document image with the docket entry for the document.
FORMS	The Forms sub-function revolves around the services needed for creation, maintenance and distribution of forms used by the courts.
DOCUMENT INDEXING	This sub-function focuses on the services to create and maintain an index of documents that contains basic information about the document such as case number or filing date. Services also provide the ability to search for and display documents using various pieces of information associated with the document.
<b>CALENDAR</b>	The Calendar function includes sub-functions that support developing a court's calendar, scheduling case proceedings, notification and resources management.
COURT CALENDAR	The Court Calendar sub-function focuses on the services needed to create and maintain a scheduling template/structure for a court. These services include the capability to related proceeding types with certain time periods (sessions) when they will be heard; parameters can be set for sessions, such as maximum number of proceedings per session. Further, the services provide for assigning resources (Judicial Officers, court rooms, staff, equipment, etc.) to sessions.
PROCEEDINGS	The Proceedings sub-function includes the services associated with scheduling proceedings, maintaining and displaying information on scheduled proceedings and preparing, formatting and distribution of court calendars. These services encompass all proceedings in which arguments, witnesses, or evidence is considered by a Judicial Officer in court events such as trials and hearings, lower court reviews, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events.
NOTIFICATION	This sub-function includes the services associated with generating and distributing notices of scheduled proceedings to case participants.
RESOURCE	The Resource sub-function focuses on the services needed to maintain different types of resources and resource availability. Resources include Judicial Officers, equipment, court rooms, support staff and Interpreters. Services include maintaining judicial officer schedules and assignment history, establishing judicial panels, and assignment of other resources to calendar sessions. The Resources sub-function is closely linked with the Court Calendar sub-function.

<b>PROGRAMS</b>	The Programs function focuses on sub-functions involving state and local programs that support the court.
GUARDIANSHIP	The Guardianship sub-function involves services necessary to track certified professional guardians.
INTERPRETER	The Interpreter sub-function involves services needed to track and schedule certified and registered court interpreters.
SPECIALTY COURTS	This sub-function involves the services needed to support the development and operation of specialty, problem-solving courts such as Drug Court and DUI Court.
<b>RECORDS</b>	The Records function is focused on the sub-functions necessary for management of court records, including physical case files, managing and processing exhibits, and management of court proceeding recordings.
RECORD TRACKING	The Record Tracking sub-function involves the services needed to track files including label generation, location, and status (i.e. restricted access). Services provided for expunging or sealing court files.
EXHIBITS	The Exhibit sub-function focuses on the services needed for receiving, identification, storing, and disposition of court exhibits and evidence. Services include recording receipt, identifying and linking to cases, tracking storage location, generating notices and return, disposal or destruction of exhibits.
ARCHIVING	This sub-function includes services for managing inactive physical and electronic files including file location, file summaries, and expected destruction dates.
DESTRUCTION	The Destruction sub-function focuses on services related to tracking files that have been destroyed.
RECORD SEARCH	This sub-function includes the services that support locating and retrieving both physical and electronic case records.
<b>COMPLIANCE MONITORING</b>	The Compliance Monitoring function involves those sub-functions that support both (1) pre-disposition monitoring, and (2) post-disposition -- the management of defendants released from confinement but still under court supervision.
PROBATION PROGRAMS	This sub-function involves the creation, maintenance and evaluation of probation programs for both juvenile and adults.
CASELOAD	This sub-function includes the services that support monitoring a person on probation, subject to certain conditions and under the supervision of a probation officer. Services include the establishment, tracking, and monitoring of the conditions of predisposition release and probation conditions and terms imposed at sentencing.
SOCIAL SERVICES	This sub-function involves the interaction, tracking and status reporting of probationers' interactions with service providers.
EVALUATIONS	This sub-function includes the services that provide access to/integration with existing tools used to perform an assessment of an individual to support decisions made concerning release and sentencing. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm. Adult and juvenile risk assessment is included.
<b>CONFINEMENT -- DETENTION</b>	The Confinement function includes the sub-functions that support the Court's management of juvenile detention (offenders, truants, and minors detained for their protection).
POPULATION (Detention)	The Population sub-function includes services that support activities and actions around juvenile detention. These services include admission,

	release, tracking, and health-assessment. (Risk assessment is excluded, as it is addressed under Evaluations.)
FACILITY (Detention)	The Facility sub functions supports those services for managing locations, buildings, staff, security, and other items needed to support the confinement operations.
ALTERNATIVE PROGRAMS	This sub-function includes services for tracking juveniles enrolled in alternative programs (e.g., electronic home monitoring, work crew, group home, etc.).
CONFINEMENT -- JAIL and JRA	The Confinement function includes the sub-functions that support the Court's management of juvenile jail and JRA.

## Criteria

In a parallel effort to defining services, the Workgroup developed criteria which would serve as the basis for determining whether a service is centralized or local. The workgroup considered different approaches to criteria. One approach would be to declare all services as centrally provided; then criteria that focused on “qualifying” a service as local would be developed. Another approach would be to declare all services local unless “qualified” as a central service, based on criteria. It was decided that both approaches have merit, but fail when there are both central and local criteria that support a specific service. An approach which blends both central and local criteria is necessary. Following examination and deliberation, the workgroup adopted ten criteria, as follow:

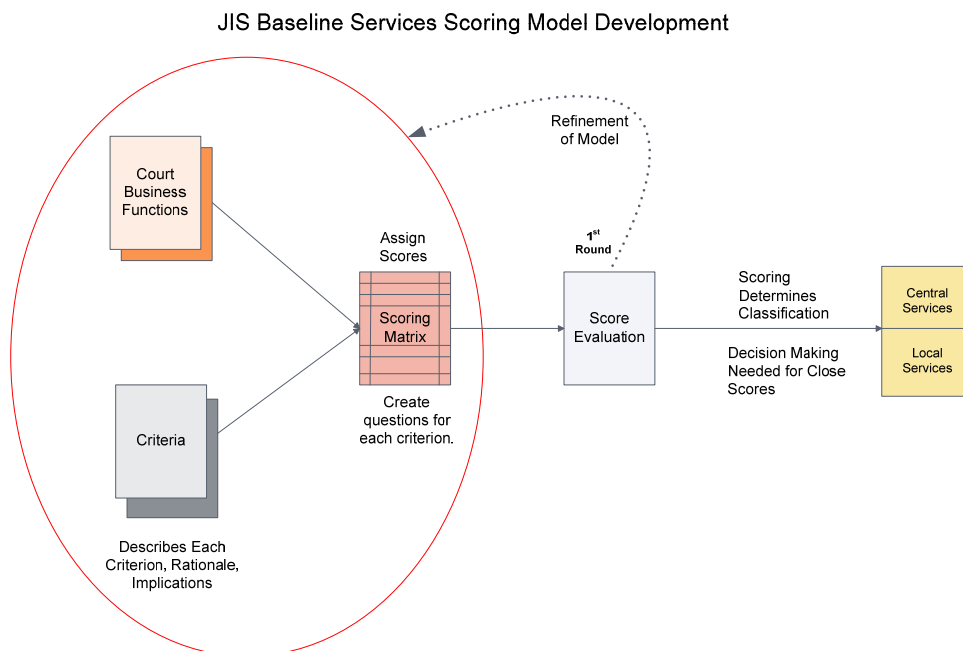
1. Mandated Requirements
2. Continuity of Service
3. Economies of Scale
4. Common Usage by Courts
5. Statewide Information
6. Common Information for Consistent Decision Making
7. Equity Regardless of Capability
8. Local Control
9. Local Court Rule or Practice
10. Funding Source

Rationale and descriptions for each of the criteria are presented in Appendix A.

## Scoring Model

Once the court business functions were identified and the criteria to classify them were defined, the Workgroup worked to determine the best way to apply criteria to functions. One way is for decision-makers to sit together and discuss how the criteria fit a particular business function. This approach is very subjective, poor for comparing one function to another, and lacks consistency across evaluated functions. The Workgroup concluded that a tool is necessary to more objectively and consistently measure the level at which the criteria apply to a business function. The graphic below (Figure 2) depicts the process of the workgroup in developing a model tool for future scoring:

Figure 2: Scoring Model Development



First, for each criterion one or more questions were created to elicit responses about how the criterion applies to the business sub-function being evaluated. (See Appendix A for questions identified for each criterion). The criteria and related questions were then entered as rows into a scoring matrix, and the business sub-functions were listed in the columns. (The scoring matrix was created as a series of spreadsheets within an Excel workbook, which allows Workgroup members to enter scores directly, assisted by system edits and on-screen help. See Appendix B for an illustration of the scoring matrix.)

The questions under Criterion #1, “Mandated Requirements,” ask *“Is there a mandate (statute, court rule or regulation) that the service be provided centrally or locally?”* If the answer is “Yes,” no further scoring of the sub-function is done; the mandate is deemed sufficient to determine the matter of central or local provision. If the answer is “No,” scoring for the remaining criteria continues. Each question under each criterion is assigned a numerical score. Numerical weights were assigned to the criteria, reflecting each criterion’s relative impact toward a decision for centralization. In addition, every question other than those for Criterion #1 is designated as a “process” or “data” question.

After the questions are answered, each criterion has a raw score (total for all questions), an average score, and a weighted score (criterion weight applied to the average score). The scores for all criteria are used to compute a score for the sub-function. In addition, sub-functions have weighted “process-centralization” and “data-centralization” scores. These scores result from the designation of questions as either process or data questions. The weighted scores for each sub-function are normalized on a scale from 1 to 100. As scores increase, the basis for centralization increases. A normalized score of 100 would indicate a sub-function that should be fully provided centrally; inversely, a sub-function with a normalized score of 1 would recommend local provision.



## Scoring & Evaluation

Once complete, the scoring matrix was tested to see if it “works” – that it classifies functions as intuitively expected or as rationally comprehensible. To test the scoring matrix, Workgroup members – each working independently – scored every question across all sub-functions. The completed matrices from the workgroup members were aggregated into one matrix displaying the compiled scores.

Workgroup members reported that the scoring was demanding. It required considerable time and scrutiny. Evaluation of individual and compiled scores revealed that the scoring was affected by the scorer’s interpretation of questions, as well as scorer’s perception of the scope of each sub-function. As a result, there was considerable variation between individuals’ responses, as well as inconsistencies within individual assessments.

Following minor revisions to the scoring matrix, and to capitalize on Workgroup learning during the first round of scoring, a second round of scoring was undertaken. Although results indicated some convergence in views, it was modest. Considerable variation in individuals’ assessments remained, leaving insufficient agreement to draw any conclusions regarding Washington State’s baseline services. Furthermore, members reported lack of confidence in their own, individual scorings, and expressed a need for greater understanding of the sub-functions as they operate in court levels other than their own.

## Modified Delphi Method

To address these concerns, a modified Delphi method was employed. The method seeks expert input from Workgroup members in successive rounds. This iterative process aims to (1) hone thinking as individuals, and (2) ultimately converge as a group to the best answers. Based on learning and perspective acquired from earlier iterations, experts are likely to revise their earlier determinations during successive rounds. This maximizes opportunity for both individual and group learning, and for achieving expert consensus – which thereby arrives at the best answer.

Having completed two iterations (two rounds of individual, detailed scoring of each sub-function against a set of criteria), Workgroup members embarked on a group exercise to reflect again on each sub-function – leveraging their expert intuition plus insights gained from earlier iterations – to make a fresh, but informed, assessment for each.

## Paddle Vote

Dubbed the “paddle vote,” this technique employed voting paddles used by each member to visually signal for each sub-function whether it should be centralized with respect to:

- (1) **Data** -- *indicated by raising a blue paddle*
- (2) **Process** – *indicated by raising a yellow paddle*
- (3) **Both data and process** – *indicated by raising both paddles*
- (4) **Neither data nor process** – *indicated by raising neither paddle*

A scoring-summary document (see Appendix E, “Court Business Function Scoring Summaries”) was provided to each Workgroup member as a reference. For each sub-function, it displayed: (1) sub-function definition, (2) scoring-grid results for selected questions addressing the “fit” of the sub-function to the criteria, (3) aggregate, normalized scores for process and for data. Members were encouraged to consider, but not be driven by, the scores. Departure is appropriate where insight has expanded and learning has occurred.

With this reference, voting proceeded. Following each vote, members with differing views explained their rationale, and a re-vote was immediately conducted. The rationale statements and results of the re-vote were logged, and (regardless of outcome) discussion moved to the next sub-function until all sub-functions had been reviewed, briefly discussed, and voted upon.

Complete instructions for the paddle vote are available in Appendix C.

This round resulted in notable convergence of views relative to prior (scoring-grid) rounds, with unanimous decisions having emerged for 56% (37) of the sub-functions. Following adjournment, results were recorded on the scoring-summary document, and distributed to members with a request to review the votes and rationale statements.

## Guidelines & Principles

Over the course of the Workgroup's scoring and voting iterations and extensive discussions, a number of guidelines and principles emerged. These were documented for easy reference in the final iteration (see "Resolution Round" below), and are as follows:

### GUIDELINES & PRINCIPLES

#### FOR DETERMINING JIS BASELINE SERVICES

1. The normalized total scores summarize the individuals' initial responses, which were based on specific criteria so as to minimize bias and subjectivity. **The normalized total scores should inform, but not wholly determine, today's votes.** This approach capitalizes on the best of experts' analysis and their intuitive understandings, as well as leverages the individual and group learning that has occurred through successive iterations.
2. The Workgroup's goal in this collective analysis is to rise above the single court level each represents, and **look to the needs of other court levels**, as well.
3. **The appellate courts are statewide courts.** Since AOC is their service provider, the Supreme Court and Court of Appeals may have some AOC-provided functions which may not rise to the level of inclusion in the core baseline services established for *all* courts.
4. **"Central" can mean simply shared** – it needn't include storage in a state repository. For example, images might be stored locally, but made accessible for viewing by others statewide.
5. **A common process (or shared data) does not require that every court level participate**, but rather only that the process or data be common at least across a single court level.
6. **"Common" denotes shared capabilities – not identical use of those capabilities.** For example, all courts have to calendar, and require the same capabilities (establishment of different types of calendars, assignment of resources, etc.). How each court employs those capabilities (configuration) can differ, yet remain within the meaning of "common process."
7. A determination of **common data or common process reflects the vision for Washington's courts.** It establishes a desirable future state. But it does not dictate that the common data or process will necessarily be built. Prioritization and resources will

continue to play an important role in determining what's included in any immediate and future development.

8. When consensus is not achieved, it may be due to the high level at which these sub-functions have been assessed. **Future examination of services and service components within the sub-functions might assist with attaining consensus.**

## Resolution Round

In the fourth and final iteration, the Workgroup was reconvened to collectively review the votes and rationale statements for the sub-functions for which disagreement continued. Members were equipped, additionally, with the documented **Guidelines & Principles** (see Appendix D) which had emerged over the Workgroup's months of deliberation.

For each sub-function, and following review of prior votes and documented rationale statements, members in the minority were asked to consider whether (1) they have been persuaded and could change their vote, (2) they could consent to the majority view ["could live with it"], in recognition of a different court level's need, or (3) they continue to disagree and could not, in good conscience, consent.

By the end of this final round, consensus climbed to 75% (49) of the sub-functions. Another 14 sub-functions (22%) had only moderate divergence of opinion, with no more than two persons in the minority (and that minority aligned, sharing one view). Only 2 sub-functions (3% of the full set) remained widely divergent with a minority of three persons or a minority that was not internally aligned.

## Findings

By conclusion of the project, the Workgroup made strong, unanimous decisions regarding 49 of the 65 sub-functions that were identified. For another 14 of the 65 sub-functions, a clear majority viewpoint emerged.

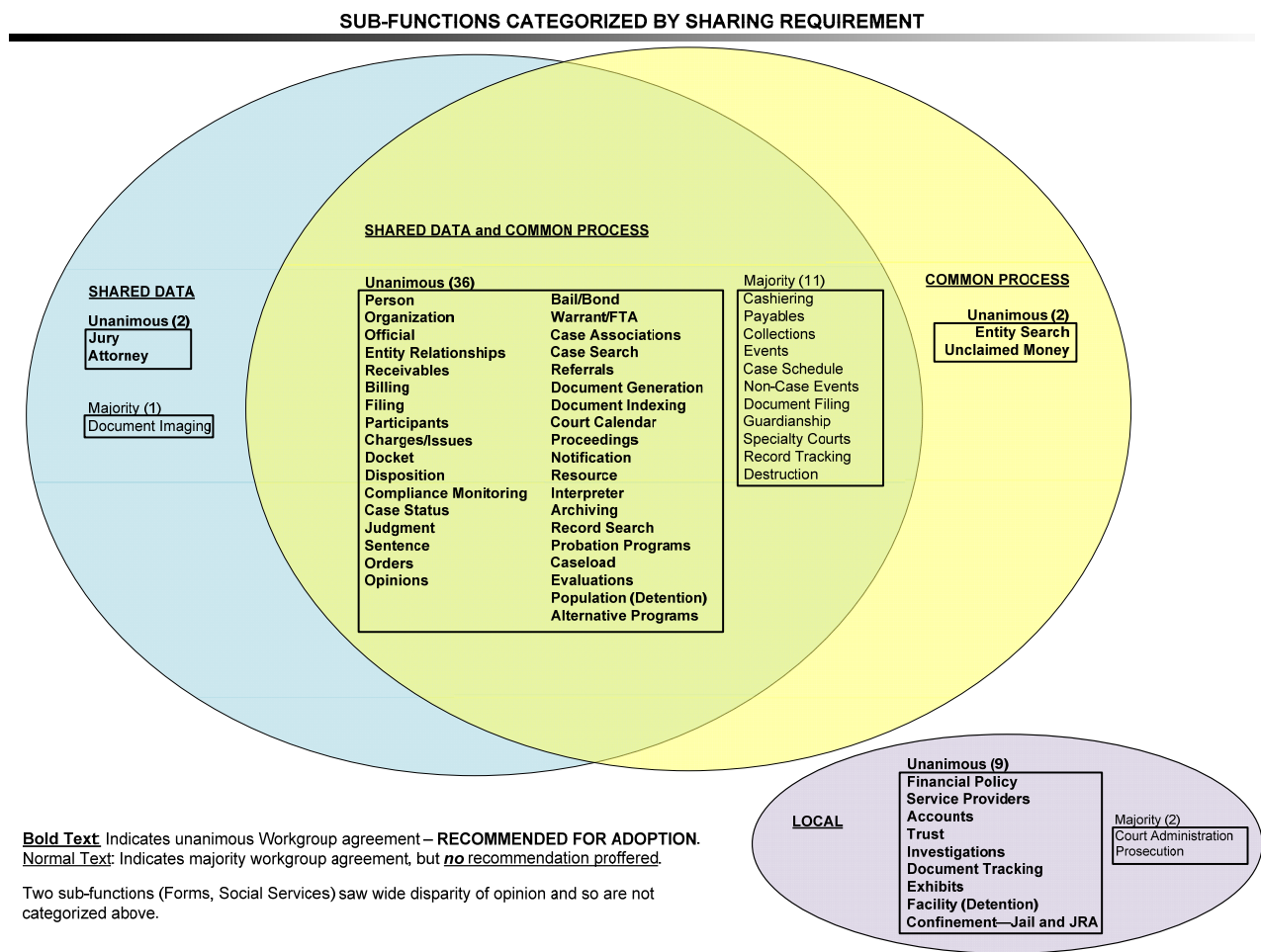
It bears noting that these decisions don't, in many instances, correspond well to scores assigned in the detailed scoring grid during the first two iterations. That is not a wholly surprising outcome, since:

- (1) Consistent with the nature of a Delphi methodology, considerable individual and group learning occurred between the scoring activity and the votes. Members were instructed to not be constrained by earlier views if their understanding had changed.
- (2) This Workgroup's review of the full breadth of business functions imposed a degree of confusion and uncertainty. Definitions of sub-functions evolved as members worked to identify exhaustive and non-overlapping items. In future endeavors, the business functions under scrutiny would likely be fewer in number and narrower in scope. This would enhance the Workgroup's ability to fully explicate the nature of function(s) to better inform consistent and reliable scorings.

Both unanimous and majority final decisions are presented in this section, albeit distinctly -- and with the caveat that lack of persuasion of even a single member of the Workgroup may signal the need to examine more closely which elements within a sub-function are appropriate for statewide development, and which can be provided locally. Additional examination at a more granular level (components within sub-function) could be brought to bear on all non-unanimous

sub-functions. This is a natural starting point for the recommended continuous review and evolution of JIS Baseline Services and of this model for identifying those services.

Figure 3 illustrates the Workgroup’s identification of baseline services. (An enlargement is available in Appendix G.)



**Shared Data:** Two sub-functions (jury and attorney) were recognized by the unanimous Workgroup as requiring shared data (but not process). One additional sub-function (document imaging) was identified by a majority – but not the full Workgroup – as requiring shared data.

**Common Process:** The Workgroup was of single mind regarding sub-functions which require a common process (uniform standards and shared procedures) but not shared data. Entity search and unclaimed money were determined to fall in this category.

**Shared Data and a Common Process:** The majority of sub-functions were determined to require both shared data and a common process. A total of 36 were unanimously identified as falling into this category, with an additional 11 categorized this way by a majority of the Workgroup.

**Local (neither shared data nor a common process):** The Workgroup unanimously identified 9 sub-functions which should be provided locally. A majority (but not the full Workgroup) included 2 additional sub-functions in this category.

A listing of sub-functions in each of the categories is available in Appendix F. Detailed evaluations of all sub-functions (including votes by member, voting rationale statements, and normalized process and data scores) are available in Appendix E, “Court Business Function Scoring Summaries.”

## Recommendations

The Workgroup established, and set out to accomplish, three goals: (1) identify a baseline set of services to provide maximum benefit to the court community and to make it easier for local jurisdictions to meet their business needs; (2) develop criteria to identify centralized ownership of future business services; and (3) develop a repeatable process that can be employed to apply the criteria in future analyses of business services.

The Workgroup has accomplished these goals, although with remaining opportunity for improvement. An excerpt from the final meeting of the Workgroup provides detailed member commentary on the methodology and its prospects for repeatability. (See Appendix H.) Key recommendations fall into three areas:

### 1. Baseline Services

Core baseline services – at a high level – have been established through the unanimous identification of two sub-functions requiring shared data, two requiring common process, and 36 requiring both shared data and a common process. In addition, 9 sub-functions were unanimously identified as services appropriate for local (rather than statewide) provision. The Workgroup recommends adoption of this set of 40 sub-functions as core baseline services, and endorsement of the 9 local services as residing outside the JIS baseline.

Despite extensive discussion and analysis, the Workgroup did not reach agreement on classification of the remaining 16 sub-functions. Strong majority – but not unanimous -- opinions emerged for 14 of those 16 sub-functions, while the remaining 2 sub-functions were more widely divergent. The Workgroup was divided as to whether majority-supported items should be recommended to the JISC for adoption. Although a portion of the Workgroup was in favor of the closure which could be achieved through majority rule, others had concerns about risks of majority rule, including:

- Lack of persuasion of all Workgroup members may signal that those sub-functions were too high-level to be identified as either wholly statewide or wholly local. It’s possible that analysis at a more detailed level (decomposing those sub-functions into components within) might be instructive.
- A majority-rule approach might be vulnerable to politicization and/or to disenfranchisement of the stakeholders who fall in the minority.

As a consequence, the JIS Baseline Services Workgroup is advancing no recommendation concerning the 16 non-unanimous sub-functions. Instead, the Workgroup is offering a range of actions the JIS Committee may wish to consider. (See “Options for JISC Regarding the 16 Undecided Sub-Functions,” following all recommendations, below.)

As noted, all sub-functions are composed of a number of services which, in turn, are composed of a number of service components. For example, the collections sub-function breaks down into notifications to owing party, assignment of A/R to a collection agency, tracking of payment history, and collections management. Further examination at this greater level of detail for all

sub-functions is crucial to addressing the complex challenges of planning cost-effective information systems which serve court business needs.

Additionally, it is recognized that court business and the needs of court stakeholders will continue to develop and change. Therefore, baseline services – as well as the process employed to identify them -- should be routinely and continuously examined to ensure alignment with courts' evolving priorities and requirements.

**Recommendation #1:** The 40 high-level sub-functions unanimously identified by the Workgroup should be adopted as baseline services (2 shared data, 2 common process, 36 shared data and common process). See Appendix F.

**Recommendation #2:** The adopted baseline services should be referenced in planning of all court information-technology projects.

**Recommendation #3:** Routine review of both adopted JIS Baseline Services and the associated methodology should be undertaken on a regular cycle.

## 2. Criteria

Ten criteria have been established to provide consistent and objective analysis of business services. Questions have been developed and implemented to provide measurable assessments of the fit of each criterion to the business service under review. At completion of this project, there was general agreement that the criteria and corresponding measurement questions had injected necessary scientific rigor and objectivity into the analysis.

However, as experience was gained with the evolving scoring tool, the Mandates criterion (and associated measurement questions) proved to be problematic. Investigation into current statewide mandates identified several statutory and court-rule requirements, but many of these are “ends” oriented – specifying outcome and/or standards, but not dictating the operational procedures for attaining those ends. For example, General Rule 30 requires that the Judicial Information System Committee adopt standards for electronic filing of court documents. It does not detail whether electronic filing should be managed centrally or locally. Inclusion of the mandates criterion in the scoring grid invited imputation beyond the actual letter of the requirement, and it stifled further analysis of the sub-function against the other criteria. It is recommended that future uses of the baseline services criteria include researching of any applicable mandates as important context, but that the Mandate criterion not be employed in the scoring grid.

**Recommendation #4:** The ten criteria and associated measurement questions (Appendix A) should be adopted for future examinations of baseline services.

**Recommendation #5:** Criterion #1 (Mandated Requirements) should be examined as crucial context for baseline-service identification, but not employed directly in the scoring grid.

## 3. Repeatable Process

This Workgroup's experience applying the criteria to business services yielded several observations and suggestions. (See Appendix H for a complete discussion.) There was general agreement that the methodology was valid and precise; its rigor was crucial in identifying services objectively, rather than politically.

The group dynamic and the cross-member education that occurred during the paddle voting and resolution round were appreciated by Workgroup members. But some concern was expressed that the process ultimately placed some coercive pressure on those in the minority to conform their votes to the majority view.

Completing the scoring grids was difficult, intense, and time-consuming for individual scorers. In part, this resulted from the lack of a shared understanding among evaluators as to interpretation of the questions and scope of each sub-function. This lack of a frame-of-reference contributed to individual scorers' expressed lack of confidence in their own responses, and their discomfort was validated by internal inconsistencies which showed up within each individual's scores. In addition, without a shared understanding, independent scores from multiple evaluators cannot validly be compared. Workgroup members suggested that undertaking the individual scoring exercises **after** at least one round of group voting and discussion would help to establish the necessary frame-of-reference that would streamline responding to the scoring grid. This re-sequencing would also provide some useful early education in the operation of the sub-functions in court levels other than one's own. Undertaking the scoring grid after some general understandings have been developed should make the scoring task less onerous.

There was disagreement among members as to whether expanding Workgroup size would be useful. Some felt it would ease the responsibility of representing an entire court level, ranging from very small to very large courts. It was also suggested that a larger group would permit inclusion of operational staff to augment the big-picture views of the executive-level members who actually vote. But others felt that would deflect discussions away from the visionary focus required. The suggestion to increase Workgroup size was countered by the observation that to do so would risk greater politicization and polarization of the process.

No conclusion was reached as to whether this project would have benefitted from the Workgroup's having assessed priorities, along with identifying the baseline services. Those in favor of undertaking prioritization saw that as a way to effectively manage the large proportion of sub-functions which were ultimately identified as central. Others, however, thought prioritization correctly falls outside of this effort; governance groups determine priority, given resources and other constraints, and this Workgroup should remain focused on the vision.

In future endeavors, a high-level demonstration of each court level's existing case-management system is recommended. This would have provided valuable context for discussions.

Any future re-use of this process would benefit from adoption of the guidelines and principles at the outset of investigations (see Appendix D, *Guidelines and Principles*). This workgroup had the unenviable task of gradually ferreting out and negotiating these principles while simultaneously (but perhaps unwittingly, and often in contradictory forms) employing some version of them in the analysis. This was a process analogous to working on a car's engine while the car is traveling down the road. By agreeing to explicit and shared guidelines at the outset, Workgroup members could more readily orient to the mission and align their understandings of scope and purpose.

**Recommendation #6:** This methodology, with appropriate revisions, should be employed to impose rigor, precision, and objectivity on the process of baseline-service identification.

**Recommendation #7:** Guidelines and Principles developed in this effort should be adopted for use in future baseline-service investigations.

**Options for JISC Regarding the 16 Undecided Sub-Functions:** The Workgroup did not arrive at a recommendation for the 16 sub-functions on which agreement could not be reached. Several options are suggested for JISC consideration:

- Adopt the report and recommendations as they stand, taking no further action at this time regarding inclusion or exclusion of the 16 undecided sub-functions.
- Make JISC decisions on the 16 undecided items, informed by the contents of this report, including the normalized total scores, votes, and discussion summaries detailed in Appendix E (“Court Business Function Scoring Summaries”).
- Solicit from Workgroup members formalized majority and minority opinions for each of the unresolved sub-functions, for deliberation and decision by the JISC at a future date.
- Authorize additional study, which could include any or all of the following:
  - Clarification of underlying assumptions, including whether baseline services imply required use by all courts (or at all court levels) or, conversely, whether baseline services define JIS functionality available to (but not mandatory for) courts, based on individual courts’ needs.
  - Additional objective analysis by AOC, to include (1) delineation of current functionality as it applies to each of the undecided sub-functions, (2) a review of the degree of correspondence between objective scores and final votes, and (3) identification -- and possible weighting of views of -- the stakeholder group[s] most vested in each of the sub-functions.
  - Decomposition of the undecided sub-functions into a greater level of detail within each (services and service components).
  - Group (workgroup or JISC) discussion of each of the criteria as they apply to each of the 16 undecided sub-functions, to illuminate aspects not recognized during individuals’ scoring of the sub-functions relative to the criteria.



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MEMORANDUM

**TO:** JISC Members  
Association Presidents  
SC-CMS Steering Committee Members

**FROM:** Mary E. Fairhurst *Mary*  
JISC Chair

**DATE:** September 26, 2011

**RE:** Superior Court Case Management System - Procurement Rules for  
Phase II: Request for Proposals Development

---

As you know, the Judicial Information System Committee (JISC) voted on September 9, 2011 to move forward to the next step of the Superior Court Case Management System project. Under the direction of the JISC, the Administrative Office of the Courts (AOC) has begun initiating the next step, which is the contracted development of a Request for Proposals (RFP), a formal procurement document.

Because we have started this step, we must avoid situations that could result in protests should a RFP be issued and we need to avoid perceptions of bias toward *any* vendor. It is important that all stakeholders are aware of the limits we now have regarding contacts with potential vendors. All direct communications with potential vendors must be ceased immediately. No detailed information can be shared with *any* vendor regarding Washington State's specific technical or functional requirements related to the Superior Court Case Management System project and we need to refrain from attending special demonstrations and private/group meetings with potential vendors where Washington State specific technical and functional requirements could be shared.

Those attending the October Courts Technology Conference in Long Beach, California should limit vendor contacts to attendance at vendor demonstrations that are open to all conference attendees. Conference attendees and others may ask general questions of vendors regarding product capabilities, but should avoid questions that clearly specify a technical or functional requirement that must be met to satisfy the specific needs of Washington Courts.

From now on, all vendor inquiries to members of the court community or AOC staff regarding the Superior Court Case Management System project should be referred to Cheryl Mills, Vendor Relations Coordinator at AOC. Cheryl will remain the single point of contact for all interested vendors. She can be reached directly at 360-704-5505 or at [cheryl.mills@courts.wa.gov](mailto:cheryl.mills@courts.wa.gov). Please forward her contact information to any vendor contacting you seeking information about this project or the related RFP.

cc: Jeff Hall, State Court Administrator  
Vonnie Diseth, CIO/ISD Director  
Bill Cogswell, ISD Associate Director

# **Superior Court Case Management System (SC CMS) Project Update**

**October 7, 2011**

# Administrative Office of the Courts Project Perspective

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

# SC CMS Project Work

- Project initiation process documentation
- Provided project requirements documents to King County
- King County onsite visits
- Request for Proposal (RFP) Steering Committee meeting schedule and draft charter
- Map all requirements to project scope

# RFP Steering Committee Members

County Clerks	Superior Court Judges/ Administrators	AOC
Betty Gould Thurston County	Judge Dalton Kitsap County	Jeff Hall State Court Administrator
Barb Miner King County	Paul Sherfey Administrator King County	Vonnie Diseth CIO- Information Services Division
Kevin Stock Pierce County	Frank Maiocco Administrator Kitsap County	

- WAJCA liaison appointment: Brooke Powell - Island County JCA

# SC CMS Project RFP Stakeholder Guidelines

- Justice Fairhurst letter to all RFP Stakeholders
- Courts Technology Conference attendees
  - Only demonstrations for all attendees
  - Only questions about vendor product capabilities; no detailed information
- Refer all SC CMS Project inquiries to Cheryl Mills Vendor Relations Coordinator, AOC (360) 704-5505 or [cheryl.mills@courts.wa.gov](mailto:cheryl.mills@courts.wa.gov)

# Next Steps

- Final RFP Steering Committee Charter
- Complete RFP Requirements
  - Review and finalize
  - Confirm meets King County needs
  - Confirm meets Associations needs
- Preliminary RFP Preparation



# **ITG 081**

# **Static Adult Risk Assessment**

# **Project Status Update**

October 7, 2011

# In Scope

- Develop STRONG v2 interfaces:
  - JIS Data – automating assessment calculations with Washington criminal history data
  - User interfaces – create assessments, manual entry of out-of-state criminal history data, view assessments
- Develop guidelines for processing out-of-state criminal history
- Develop Court on-boarding process
- Working with pilot courts to ensure usability of applications and processes

# Not in Scope

- Policy decisions surrounding the use of STRONG v2
- Defining individual jurisdictional processes
- Full statewide rollout
- Reporting environment
- Implementing the Offender Needs Guide

# Current Activity

- Project charter draft is complete and ready for review
- Executive Steering Committee members identified:
  - Judge Kathleen O'Connor (Chair) – Spokane County Superior Court
  - Judge Michael Trickey – King County Juvenile Court
  - Judge Stephen Warning – Cowlitz County Superior Court
  - Judge Chris Wickham – Thurston County Superior Court
  - Judge Stephen Brown – Grays Harbor County District Court
  - Judge Marilyn Paja – Kitsap County District Court
  - Judge Scott Ahlf – Olympia Municipal Court
  - Patricia Kohler – DMCMA Representative
  - Fona Sugg – AWSCA Representative
  - Vonnie Diseth – AOC ISD Director/CIO

# Next Steps

- Conduct first Executive Steering Committee meeting in October
- Approve project charter
- Identify pilot courts
- Develop system requirements
- Start system design

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

October 7, 2011

# VRV Tier 1 Current Status

- The Tier 1 VRV Courts, Lakewood, Kirkland, and Issaquah, are close to implementing their VRV onboarding solutions.
- The VRV Tier 1 pilot courts are in the process of connecting and testing their web services with JINDEX
- The current release schedule has the three courts targeted for an October 12<sup>th</sup> production date.

# Delays and schedule changes

- DIS acknowledged that they underestimated the complexity involved in on-boarding our courts.
- As a result, this has been and continues to be a learning processes for all involved.
- DIS has implemented a release management schedule that provides only one release per quarter.
- It is expected that as we gain more knowledge and experience the process with eventually smooth itself out.





# VRV Tier 2 update

- Tier 2 courts (Fife, Tacoma, and Lynnwood) are now slotted for inclusion in the JINDEX Jan – Mar 2012 release group 3.
- The ATS and Redflex web services, created for the Tier 1 courts, will be used the Tier 2 courts.
- This will cut down on the time and effort needed to implement the VRV solutions for Tier 2 and all other future business partners.

# Next Steps

- As we roll off the Tier 1 implementation, AOC will start bi-weekly meetings of the Tier 2 work group.
- We will use these meetings to leverage the lessons learned from the first group of courts.
- We will use the same method of collaboration and coordination used successfully with the Issaquah, Kirkland, and Lakewood.



# **Superior Court Data Exchange Project Status**

**October 7, 2011**

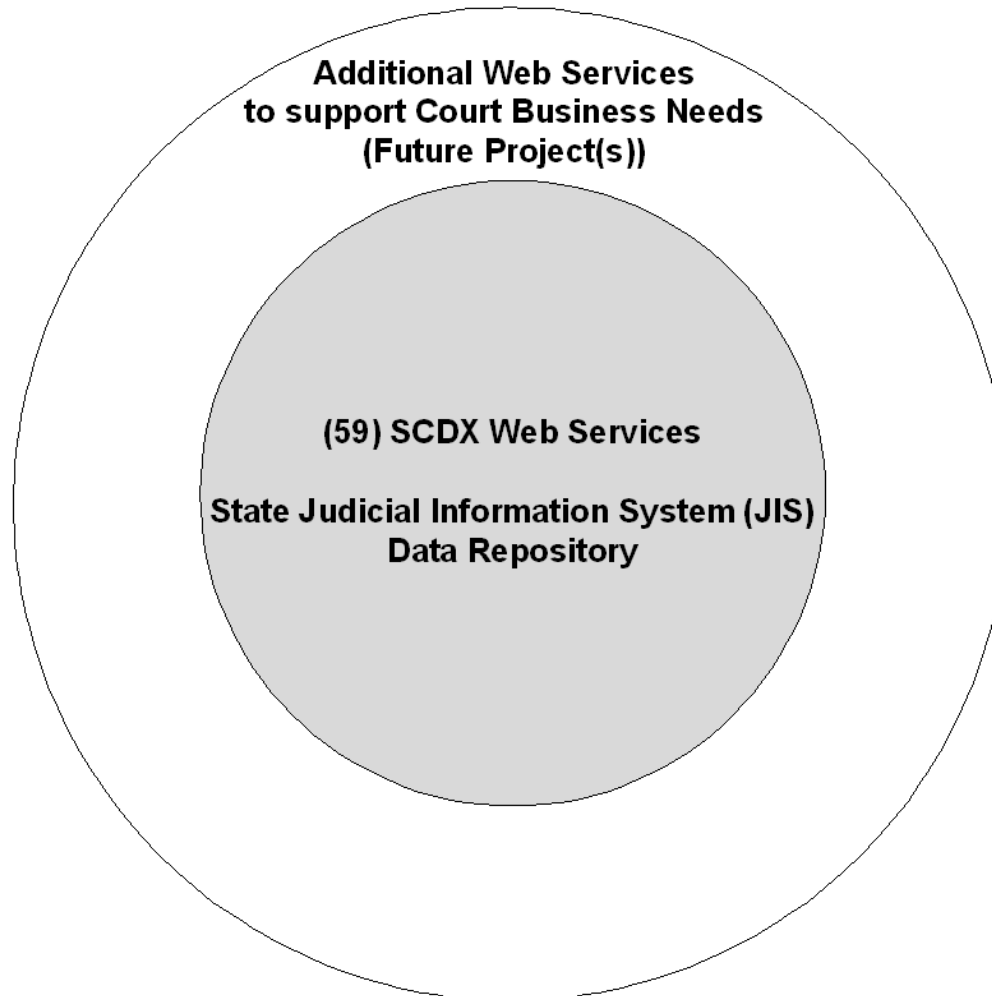


# Superior Court Data Exchange Project

## Project Scope:

- Develop and deploy (59) web services for local Superior Court systems to transmit their judicial data to the statewide Judicial Information System (JIS) data repository, mandated by State statute.
- Pierce County's Legal Information Network Exchange (LINX) System will be the initial system to use the Superior Court Data Exchange (SCDX).
- Additional Superior Court Data Exchange web services can be added as part of subsequent development projects, based upon local Superior Court business needs.

# Superior Court Data Exchange Web Services

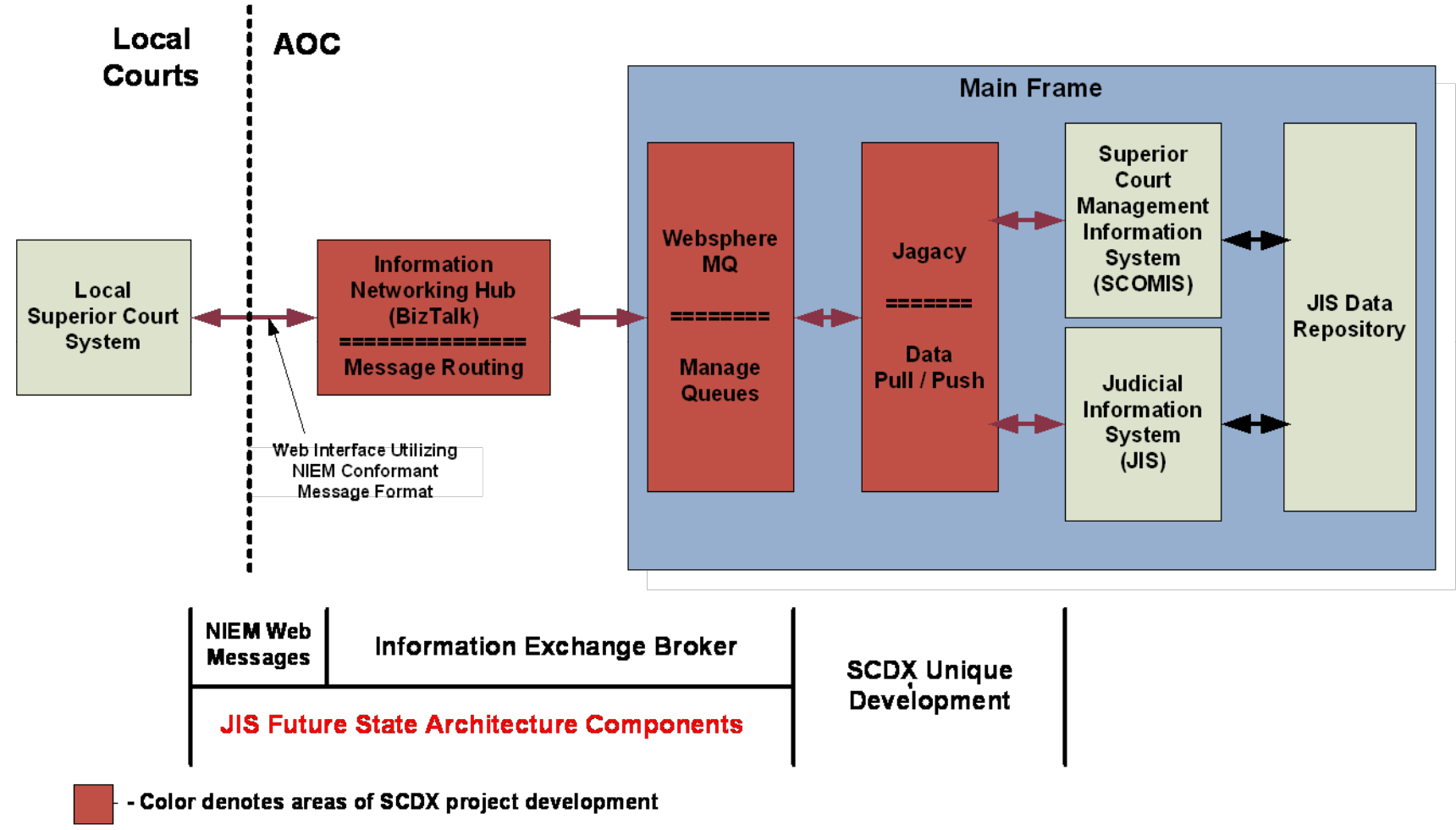


# Superior Court Data Exchange Project

## Project Scope (Cont'd):

- Superior Court Data Exchange design:
  - Support multiple local Superior Court systems concurrently.
  - Individual web services are granular and can be used with a new Case Management System (CMS).
  - Data interface is primarily one-way to move local Superior Court data to the State JIS data repository.
  - Builds a portion of the core infrastructure needed for Information Network Hub (INH).

# Superior Court Data Exchange Project High-Level Architecture



# SCDX vs. INH High-Level Project Comparison

## Superior Court Data Exchange (SCDX):

- Is deploying some of the core infrastructure that is required by INH:
  - NIEM messaging format
  - BizTalk 2010 server refresh
  - Centralized data logging
  - Websphere MQ for queue management
- Is developing primarily a one way interface to transfer data from local Superior Court systems to the State JIS data repository using (59) web services.
- Is utilizing the Business Rules embedded within the SCOMIS and JIS applications to insert local Superior Court data into the State JIS data repository.

## Information Network Hub (INH):

- Additional core infrastructure will be deployed as part of INH.
- Will develop and implement a master Data Strategy between the State JIS data repository and the new CMS.
- Will develop a two way interface between the new CMS and the State's central judicial data repository, and will develop additional web services.
- Will develop Business Rules to update the State JIS data repository without having to have transactions processed via the SCOMIS application.

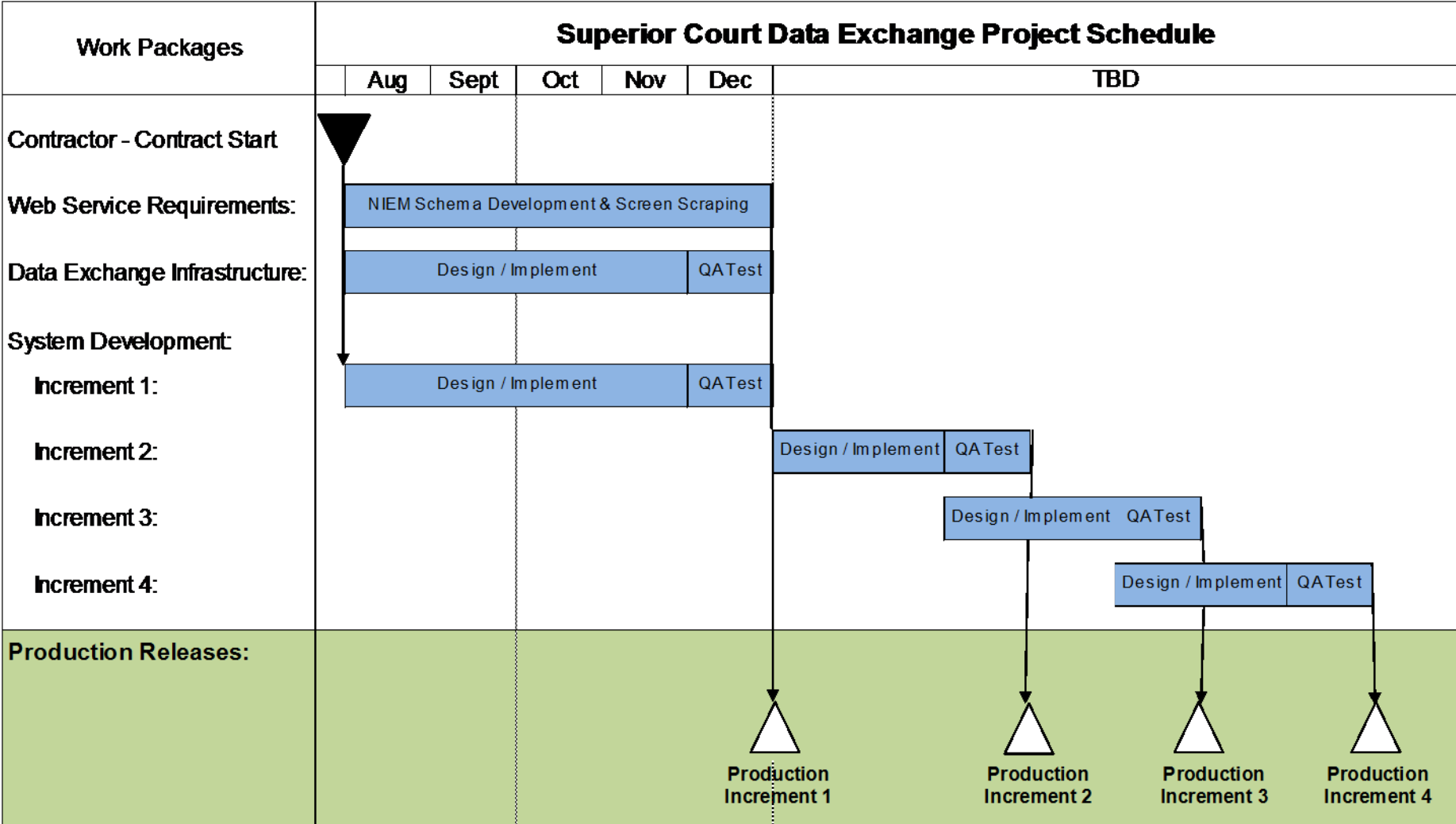
**Note: A more detailed description of the scope of the INH project will be presented at the December JISC.**



# Superior Court Data Exchange (SCDX) Project

## Project Status:

- SCDX Production Increment 1 (Initial 10 Web Services):
  - Contract signed with Sierra Systems to begin implementation
  - Production Increment 1 web service requirements completed
  - Sierra Systems is engaged in developing the SCDX design
  - Coordinating with Pierce County on SCDX web service design
  - Estimated completion date December 2011
  
- Web service requirements for SCDX Production Increments 2 - 4:
  - Completed - 11
  - Ready for Final Review - 10
  - In Process - 25
  - Not Started - 3



Note: SCDX Production Increments 2 - 4 are not currently funded but expected to take approximately 6 to 8 months to complete.

# **ITG Request #45 – Appellate Courts Electronic Document Management System (EDMS)**

**October 7, 2011**

## ITG Request #45 – Appellate Courts EDMS

### Background:

- The JISC requested the AOC to perform a feasibility study to implement an Electronic Document Management System (EDMS) for the Appellate Courts. This study was completed in July 2011.
- In August, the JISC:
  - Approved the Appellate Court EDMS Feasibility Study.
  - Approved the project to proceed with finalizing system EDMS requirements.
  - Approved the project to release an RFP to procure an EDMS.
  - Requested the project to seek JISC approval prior to awarding an EDMS contract.

## ITG Request #45 – Appellate Courts EDMS

### Status:

- Began work to complete the Appellate Courts EDMS system requirements:
  - Conducted (4) Appellate Courts EDMS requirement meetings, starting on August 17.
  - Finalizing the EDMS system requirements will take longer than expected.
  - A Change Order was drafted to document the 6 weeks of additional schedule that will be required.
  - Revised project completion date is July 1, 2012.
- A preliminary list of (22) Use Cases have been developed to document the Appellate Courts EDMS business requirements.
- (4 – 5) Appellate Court business Use Cases have been developed for team review.

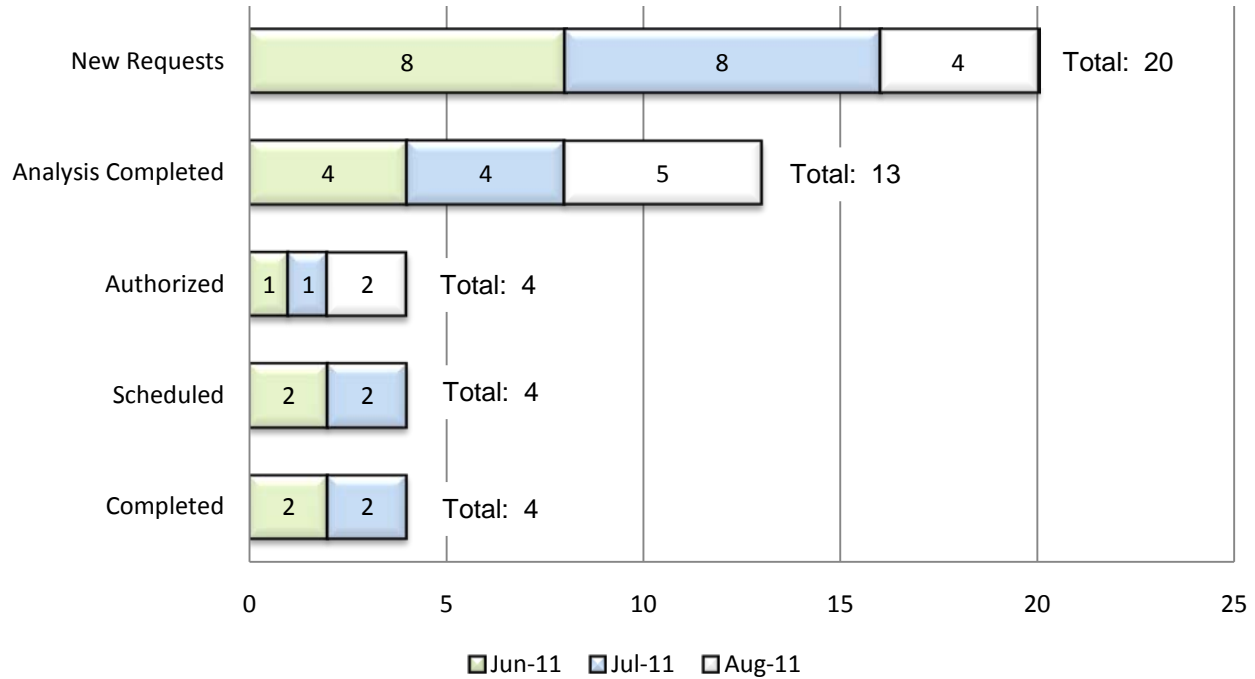
# August 2011 IT Governance Update

## Completed JIS IT Requests

No requests were completed in the month of August.

## Status Charts

### Requests Completing Key Milestones



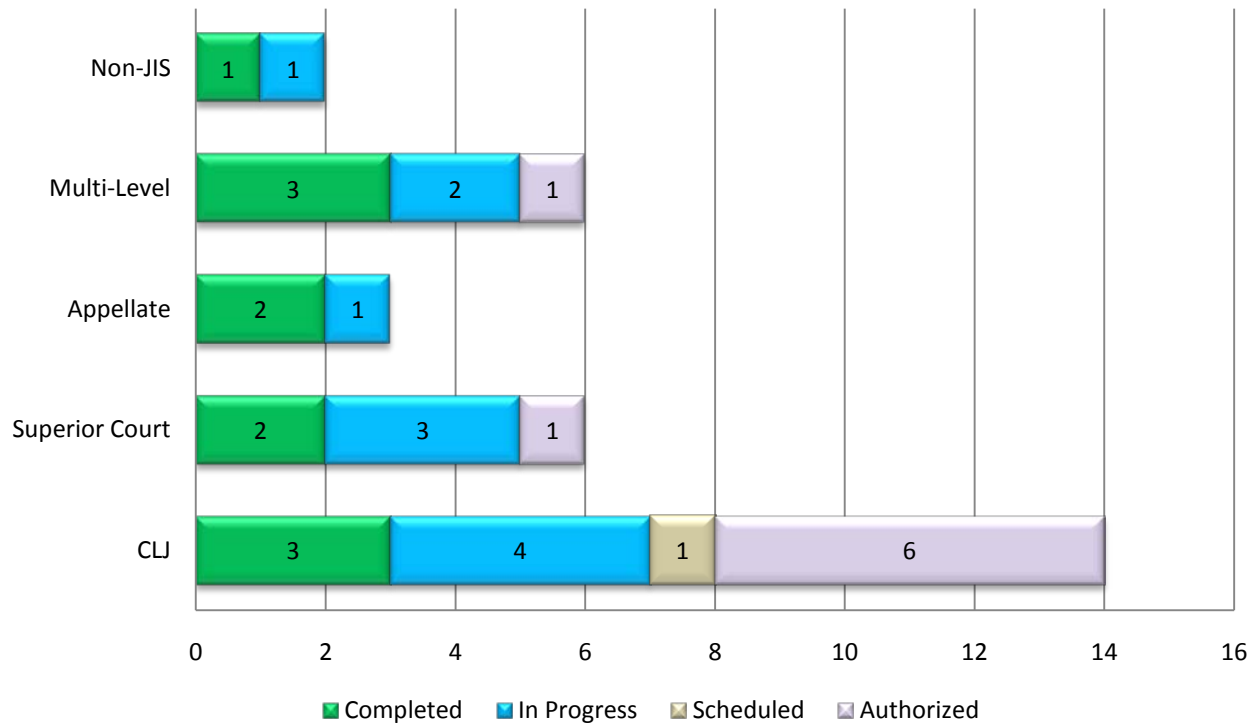
### Current Active Requests by:

Endorsing Group	
Supreme Court	2
Court of Appeals Executive Committee	2
Superior Court Judges Association	4
Washington State Association of County Clerks	6
District and Municipal Court Judges Association	8
District and Municipal Court Management Association	25
Data Management Steering Committee	1
Data Dissemination Committee	1
Codes Committee	1
Administrative Office of the Courts	11
Washington State Association of Juvenile Court Administrators	1

Court Level User Group	
Appellate Court	4
Superior Court	9
Courts of Limited Jurisdiction	23
Multi Court Level	11
Non-JIS	3

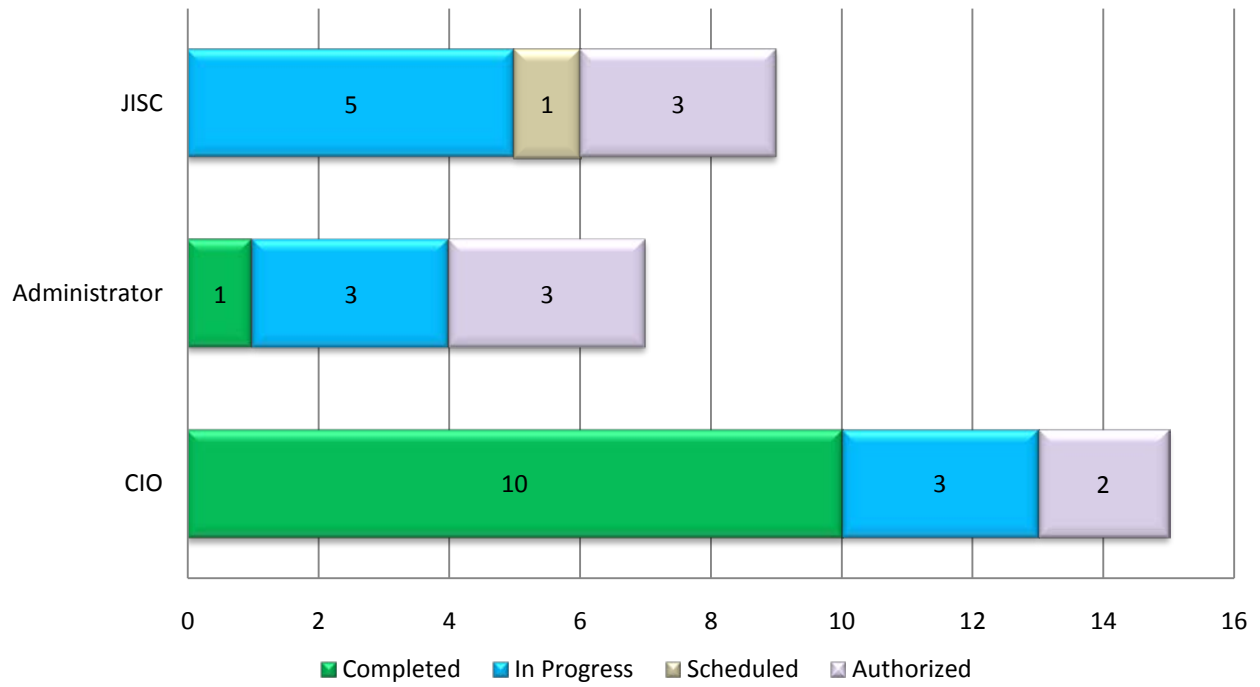
## Status of Requests by CLUG

Since ITG Inception



## Status of Active Requests by Authorizing Authority

Since ITG Inception



# Scheduled ITG Request Overview

Current as of 08/31/11

	August	September	October	November	December	January
<b>Web</b>	006 – Court Interpreter DB					
<b>Data Warehouse</b>	009 – Add Accounting Data Warehouse					
<b>JIS</b>	041 – Remove CLJ Archiving and Purge Certain Records					
<b>JIS</b>	058 – Warrants Print on Plain Paper and 037 – Warrants Comment Line					
<b>JRS</b>	050 – JRS Windows 7 and 072 – Electronic Journaling					
<b>Other</b>	081 – Implement Static Risk Tool. STRONG 2					
<b>Other</b>	045 – Appellate EDMS Requirements and RFP					
<b>Feasibility Studies</b>	002 – Superior Court CMS					
<b>Feasibility Studies</b>	028 – CLJ Parking Module Modernization					

### Schedule Status Based on Current Project Baseline





This is the final September 30th Proviso Report  
to the Legislature.

AOC received feedback from JISC members and the  
JISC Executive Committee.

The feedback was in multiple forms including memo and  
documents with track changes. Vonnie Diseth will report  
on the general theme of the comments and how they were  
incorporated into the final report.



WASHINGTON  
COURTS

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## **Administrative Office of the Courts**

# Superior Court Case Management Feasibility Study and Data Exchange Update for The Washington State Legislature September 30, 2011

State of Washington  
1206 Quince St. SE  
P.O. Box 41170  
Olympia, WA 98504-1170

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## Executive Summary

This report is prepared and submitted to the state legislature pursuant to Section 6 of Chapter 50, Laws of 2011, 1<sup>st</sup> extra special session which provides:

*“No later than September 30, 2011, the judicial information systems committee shall provide a report to the legislature on the recommendations of the case management feasibility study, including plans for a replacement of the superior court management information system (SCOMIS) and plans for completing the data exchange core system component consistent with a complete data exchange standard. ...”*

### **Superior Court Case Management System Feasibility Study**

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, and quickly and efficiently communicate court schedules and orders. The system would enable county clerks to maintain their operations and leverage what solution providers offer to improve current capabilities.

In March of 2010, the Judicial Information System Committee (JISC) authorized a feasibility study on the benefits, costs, and risks of a case management system for the superior courts in Washington.

The Superior Court Case Management Feasibility Study compared the stated needs of the superior courts for case flow management, calendaring, and other record keeping functions against four alternatives:

1. Re-platform and re-architect the Pierce County Legal Information Network Exchange (LINX) for statewide use.
2. Acquire a commercial application for statewide implementation focused on court calendaring, scheduling and case flow management only.
3. Acquire a full-featured commercial application for statewide implementation providing calendaring, scheduling, case-flow management, and other record keeping functions to be centrally hosted at the Administrative Office of the Courts (AOC)
4. Acquire a full-featured commercial application for statewide implementation providing calendaring, scheduling, case-flow management, and other record keeping functions to

be locally hosted at individual courts or consortiums of courts. AOC would establish configuration and data standards, create protocols for data transmission, and provide a master contract with solution providers from which local courts would select their applications.

The feasibility study used the Information Services Board (ISB) model to evaluate costs, benefits, and risks associated with each alternative in the study. It concludes that Alternative 3, statewide implementation of a centrally hosted, full-featured case management system, is the lowest cost 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 deliver a net present value of \$7.2M over a five year period at a cost of \$22.7M.

### ***Replacement of the Superior Court Management Information System (SCOMIS)***

The recommendation from the feasibility study is to deploy a full-featured commercial case management application centrally hosted at the AOC. The scope for implementing a new case management system includes software applications that would meet the business needs of the superior courts and county clerks for calendaring, case flow management functions, with participant/party information tracking, case records and relevant disposition services functions in support of judicial decision-making, scheduling, and case management. This scope is inclusive of the functionality provided by SCOMIS<sup>1</sup>.

The product offerings available in the market space for a new superior court case management system offer functionality currently provided in SCOMIS. A successful acquisition and statewide implementation will result in the retirement of SCOMIS.

### ***Data Exchange Core System Components (Information Networking Hub)***

In August 2009, the JISC approved an Information Technology Strategy and Information Technology Business plan for the Judicial Information System (JIS) with the goal of maturing the IT organization so that it can support the implementation and maintenance of modern systems that are easier to integrate and better align with customer needs. One of the key initiatives identified in the strategic plan was the migration of data exchanges.

The need for data exchanges has been expressed by the JIS stakeholders as the number one priority for many years. Past efforts to establish data exchanges have failed for several reasons.

- Organizational immaturity within ISD;
- A lack of comprehensive view for the data exchanges;

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<sup>1</sup> SCOMIS has served the county clerks and superior courts of Washington State including juvenile courts since it was put into production in 1977. The application is 34 years old. There are roughly 1,745 users of SCOMIS and the application processes 7,405,265 transactions per month. Maintenance and support of SCOMIS takes approximately 2.75 FTE's at the AOC.

## Superior Court Case Management & Data Exchange Update to the Washington State Legislature

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- Business processes in Washington State courts are very diverse and there is only moderate integration.

With the implementation of the new transformation plan and IT strategy, ISD has completed initiatives including IT governance, enterprise architecture, and a project management office staffed with certified professional project managers. Among the current initiatives are defining ISD's target customers and the services provided to them and implementing data governance and a unified data model.

These organizational changes have reduced potential risks, positioning ISD for future success.

In August 2010, the JISC approved the JIS future state technical architecture and data exchange strategy which provide for the establishment of an Information Networking Hub to facilitate data exchanges.

A key component of the data exchange strategy is the implementation of an Information Networking Hub which will provide seamless interchange of data between existing and new systems, share local data among courts, and connect centrally managed data, such as JIS data, with local court applications. Information networking also provides the standards by which applications communicate to each other so that applications can work together.

The Superior Court Data Exchange project is the first step toward implementing the data exchange strategy. It will be built upon to provide a comprehensive set of data exchanges that are bi-directional and real-time. There are seven categories of services that will be provided, of which six are necessary for a Superior Court Case Management System.

## The Superior Court Case Management Feasibility Project

### Background

In March 2010, the JISC authorized a feasibility study to evaluate the benefits, costs, and risks of implementing a case management system for the superior courts in Washington. The objectives of the system would be:

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 and/or improve current capabilities provided by SCOMIS
- Leverage what solution providers offer to better support the clerks work.

Using a competitive process, Management Technology Consultants, LLC (MTG) was selected to conduct the feasibility study. An Executive Sponsor Committee, with appointees representing superior court judges, 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.

### Approach

The approach used in the feasibility study was to compare four alternatives in the following six areas:

- Analysis of requirements for Washington State Superior Courts
  - Functional and business requirements
  - Technical requirements
  - Organizational requirements
- Solution Provider surveys and follow up interviews with vendors
- Gap analysis of all the alternatives
- Migration planning
- Integration evaluation
- Cost-benefit analysis

## Alternatives Considered

Four alternatives were considered in the Superior Court Case Management Feasibility Study (SCFMS):

- Alternative 1:** Re-platform and re-architect the Pierce County Legal Information Network Exchange (LINX) for statewide use.
- Alternative 2:** Acquire a commercial application for statewide implementation focused on court calendaring, scheduling and case flow management only.
- Alternative 3:** Acquire a full-featured commercial application for statewide implementation providing calendaring, scheduling, case-flow management, and other record keeping functions to be centrally hosted at the AOC.
- Alternative 4:** Acquire a full-featured commercial application for statewide implementation providing calendaring, scheduling, case-flow management, and other record keeping functions to be locally hosted at individual courts or consortiums of courts. AOC would establish configuration and data standards, create protocols for data transmission, and provide a master contract with solution providers from which local courts would select their applications.



## Comparison of Alternatives

### Alternative Cost-Benefit Analysis

Alternative	Benefits	Project Costs	Operating Costs	Net Present Value (NPV)	Internal Rate of Return (IRR)
Alternative 1 – Pierce County LINX	\$43.3M	\$26.1M	\$8.4M	\$4.0M	7.18%
Alternative 2 – Case Flow and Calendaring Only	*	*	*	*	*
Alternative 3 – Centrally Hosted Commercial CMS	\$43.3M	\$22.7M	\$8.3M	\$7.2M	11.8%
Alternative 4 – Locally Hosted Commercial CMS	\$43.3M	\$31.2M	\$15.5M	\$(6.5M)	-2.39%

*\*Alternative 2– court calendaring, scheduling and case flow management application only - was disqualified due to lack of vendor support and available products in the marketplace.*

At the time the feasibility study analyzed the Legal Information Network Exchange (LINX) (Alternative 1), Pierce County and the AOC were not prepared to redesign, reconstruct, configure, deploy, and support LINX as a case management system for use by Washington Superior Courts statewide. LINX has been a great success as an integrated justice application for Pierce County, and it has the potential to be successful as an open-source application. However, it requires a significant software redevelopment effort to be ready for service to multiple courts. In addition, significant organizational development efforts are required to provide for management, configuration, deployment and support as a multi-tenant application serving multiple courts, counties, and communities of interest. Overall, employing LINX as the case management system for all superior courts statewide is a higher risk and higher cost alternative.

Only one vendor offers a commercial application that solely supports calendaring, scheduling, and case management for courts (Alternative 2). All other responding vendors in this market provide full-feature commercial applications that integrate calendaring, scheduling, and case management for courts with record keeping functions commonly employed by clerks. Due to the limited support of the vendor market for an application that would solely support court calendaring, scheduling and case flow management, Alternative 2 was disqualified early on as a viable alternative.

The acquisition of a full-featured commercial case management system application deployed centrally (Alternative 3) best met the functional, technical, and organizational requirements of the superior courts and presented the lowest risk and lowest cost. This alternative:

- Does not require significant application development and aligns with the software purchase preference outlined in the business and strategic plans approved by the JISC
- Is supported by a relatively broad range of experienced solution providers with resources to deploy and maintain the application

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- Aligns with the planned technology architecture of the AOC
- Is most likely to evolve with the needs of the Washington Courts

Acquiring a full-featured commercial case management system application and hosting it locally by individual courts or consortiums of courts (Alternative 4) would result in a master contract and a negotiated limited license price schedule with three or more vendors. Overall, alternative 4 is a higher risk and higher cost alternative.

## Risks & Mitigation

It is critical to the successful implementation of a new superior court case management system that potential risks be identified and communicated, and a risk management strategy be developed and implemented along with appropriate quality assurance and project oversight. Two risk assessments were conducted for the feasibility study.

MTG applied the Washington Information System Board (ISB) Information Technology Investment Risk Portfolio – Based Severity and Risk matrix to the Superior Court Case Management project. The project scored high severity and high risk, resulting in its being designated as a Level 3 Risk in the ISB risk rating scheme. The risk level is the same for all leading acquisition and implementation alternatives under this assessment protocol.

## MTG Structured Risk Analysis

Alternative	High Risk	Medium Risk	Low Risk	Appendix Page Referenced in Feasibility Report*
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

MTG also applied a structured risk analysis process using a set of 90 quality standards, organized into 13 categories as the basis for identifying specific project risks. Each risk was rated as a High, Medium, or Low. This assessment was applied to all acquisition and implementation approaches. This second risk assessment is fairly granular and provides root cause analysis for risks. This information informs the efforts to mitigate risk for this project.

Key risks identified by MTG:

1. The project requires that the leading stakeholders (superior court judicial officers, Superior Court Administrators, County Clerks and the AOC) work together to provide unified vision and leadership to this effort.
2. This project is about business process re-engineering. The courts must be willing to adapt and change their individual practices for this project to be successful. Individual judicial officers, administrators and county clerks must be willing to adopt some processes, roles and record keeping practices that are different from their current practices and more consistent statewide.
3. The AOC must effectively deliver the planned Information Networking Hub (INH) to support data exchanges.
4. The AOC must effectively manage the solution provider contract to meet court needs for SC-CMS.
5. Funding for the project must be maintained across 3 biennia

MTG identified key risks for this project that will need to be managed throughout the life cycle of the project. AOC has already begun mitigation strategies to address the risks, including convening a stakeholder meeting on September 6, 2011 to address the first key risk of a unified vision and leadership.

### **Superior Court Case Management Feasibility Study Recommendation**

In summary, the superior courts lack the tools they need, resulting in:

- Delayed justice
- Increased costs to all parties
- Limited access to justice

The feasibility study considered costs, benefits, and risks associated with each alternative in the study. It concludes that Alternative 3, statewide implementation of a centrally hosted, full-featured case management system, is the lowest cost 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 a net present value of \$7.2M over a period of 5 years at a cost of \$22.7M.

The return on this investment can be optimized beyond projections in the feasibility study. The Superior Court Case Management project will provide a foundation and a modern IT toolset that the superior courts and the county clerks can use to optimize their operations, timeliness, and services.

**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 28 Medium 23 Low
Rate of Return	7.18%	Not assessed	11.8%	-2.39%

MTG recommended 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

The final recommendation to acquire and implement a centrally hosted full-featured case management system is consistent with the business and strategic plans approved by the JISC.

- The recommendation aligns with JISC guidelines and priorities for IT decision making.
- Modernizes AOC technology
- Consistent with the planned AOC technology architecture
- Supports improvements in superior court operations
- Provides the opportunity and incentives to retire SCOMIS

***The feasibility study recommendation is to address the risks and implement a new centrally hosted full-featured case management system (Alternative 3).***

## Superior Court Management & Information System (SCOMIS) Replacement

The recommendation from the feasibility study is to deploy a centrally hosted commercial case management application centrally hosted at the AOC. The scope for implementing a new case management system includes software applications that would meet the business needs of the superior courts and county clerks for calendaring, case flow management functions, with participant/party information tracking, case records and relevant disposition services functions in support of judicial decision-making, scheduling, and case management. This scope is inclusive of the functionality provided by SCOMIS<sup>2</sup>.

The product offerings available in the market space for a new superior court case management system offer functionality currently provided in SCOMIS. A successful acquisition and statewide implementation of a new case management system will result in the retirement of SCOMIS.

## Data Exchange Core System Component and Data Exchange Strategy

### Background

Over time, justice information needs for Washington State have evolved. Courts not only need access to information from other courts to make informed judicial decisions, they also need to be able to interface JIS information with local systems that make their work more efficient. The need for data exchanges has been expressed by the JIS stakeholders as the number one priority for many years.

Past efforts to establish data exchanges have failed for several reasons:

- Organizational immaturity within ISD;
- A lack of a comprehensive view for the data exchanges;
- Business processes in Washington State courts are very diverse and there is only moderate integration.

Since that time, ISD has embarked on a transformation plan to implement an IT strategy based on a business plan approved by the JISC in 2009. ISD has implemented several components of the IT transformation plan, including IT governance, enterprise architecture, and a project management office staffed with certified professional project managers. Among the current

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<sup>2</sup> SCOMIS has served the county clerks and superior courts of Washington State including juvenile courts since it was put into production in 1977. The application is 34 years old. There are roughly 1,745 users of SCOMIS and the application processes 7,405,265 transactions per month. Maintenance and support of SCOMIS takes approximately 2.75 FTE's at the AOC.

initiatives are defining ISD's target customers and the services provided to them and implementing data governance and a unified data model.

In August 2010, JISC approved a plan for a future state technical architecture that provides a comprehensive view for data exchanges and introduces the concept of Information Networking as the way to meet the data exchange needs of the state (see Appendix B).

These organizational changes have reduced potential risks, positioning ISD for future success.

### **Data Exchange Strategy**

One of the key initiatives identified in the IT strategic plan approved by the JISC in 2009 was the migration of data exchanges. The Superior Court Data Exchange project is the first step toward implementing the data exchange strategy. It will be built upon to provide a comprehensive set of data exchanges that are bi-directional and real-time. There are seven categories of data exchanges that will be provided, of which the first six are necessary for Superior Court Case Management.

The seven data exchange categories are:

1. Maintenance of JIS entities (person, address, organization etc.)
2. Synchronization of common/reference data (law tables, financial fee splits, code tables, etc.)
3. Mandated data (JIS official record including criminal history)
4. Interface with justice partners (Department of Licensing, Department of Social and Health Services, Office of the Secretary of State etc.) and exchange of data between the external partners and the courts
5. Collection and dissemination of statistical and reporting data
6. Application integration services to facilitate the Superior Court Case Management system
7. Interchange of local court data (images, orders, etc.) via an information registry

### **Information Networking Hub**

The Information Networking Hub is a key component of the data exchange strategy. In August of 2010, the JISC approved a future state technical architecture as part of the AOC Enterprise Architecture plan (see Appendix B) that included the Information Networking Hub as a core component. Information networking provides the standards by which applications communicate to each other so that applications can work together. AOC has adopted key standards such as;

- Information business services are developed and published utilizing standard specifications based on the National Information Exchange Model (NIEM)

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- Databases that are part of the Information Networking Hub will be built using a unified data model based on NIEM standards supported by the Global Justice Data eXtensible Markup Language (GJDXML).
- The technical architecture is based on Service Oriented Architecture which provides data exchange standards and better application integration.
- Microsoft BizTalk will be used for the Enterprise Service Bus, a critical information broker within the Information Networking Hub.
- Information sharing standard is real-time information exchange based on publish-subscribe standards utilizing Websphere MQ platform
- Security will use the federal standards from the National Institute of Standards and Technology, Special Publication 800-53.

Standards such as these will provide seamless interchange of data between existing and new systems, share local data among courts, and connect centrally managed data, such as JIS data, with local court applications.

### Goals of the Data Exchange Strategy

#### **Goal 1: Improve Standardization**

The first goal is to setup information exchanges that can improve standardization of business and technology processes to support centralized and local systems. This goal, which will be implemented through the use of NIEM standards, brings consistency of data, improved data quality, and enhanced data sharing while promoting ease of integration across all jurisdictions and all court levels. It will provide for the seamless integration of current and future applications.

#### **Goal 2: Minimize Change Impact**

The second goal is to minimize impact of the new exchanges to existing JIS, local and partner applications. The building of information networking is anticipated to be a multi-year initiative during which new technical and business capabilities will be deployed while the current capabilities are still operational.

#### **Goal 3: Phased Implementation**

The next goal is that the data exchanges must support a phased JIS modernization plan, allowing courts to implement new applications when they are prepared to do so.

#### **Goal 4: Real-time Information**

The fourth goal is to continue to provide real-time or near real-time justice information. Judicial decision making demands timely integrated information be available across the state. This

information enables higher-quality decisions. It will be achieved through the use of a publish-subscribe mechanism.

### **Goal 5: COTS Support**

The final goal is to build a comprehensive set of data exchanges to enable integration of existing systems with commercial-off-the-shelf systems and to respond quickly to customer requests. An important goal of the information networking hub is that it would be adaptable for business solutions now and in the future.



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### Timeline for the Data Exchange Strategy

High Level Activity	Start	Finish
<b>Establish Information Networking Hub</b>	<b>Q3, 2011</b>	<b>Q1,2015</b>
Technology Infrastructure Validation	Q3, 2011	Q4, 2011
Phase 0 – Information Networking Hub Pilot – implement two data exchanges end to end	Q1,2012	Q2,2012
Phase 1 – Implement data exchanges for the maintenance of JIS entities and for common and reference data (law tables, code tables, etc.)	Q3,2012	Q4,2012
Phase 2 – Implement data exchanges for centrally maintained, mandated data and to support justice partner interfaces	Q4,2012	Q3,2013
Phase 3 – Implement data exchanges for statistical and reporting data and data specific to the new superior court case management system	Q3,2013	Q1,2014
Phase 4 – Implement data exchanges for local court data (non-JIS data such as images, orders, etc.)	Q2,2014	Q4,2014
Phase 5 – Implement data exchanges for courts of limited jurisdiction and the appellate courts	Q4,2014	Q2,2015

## Superior Court Data Exchange Project

The Superior Court Data Exchange project is fundamental to the complete data exchange strategy. It is the first major building block of the strategy. Specifically, Superior Court Data Exchange will enable all local superior court information systems to access SCOMIS and JIS services via a data exchange interface using a standard web messaging format.

The project scope consists of deploying 58 data exchanges, which will be available to all superior courts. The Superior Court Data Exchange pilot consists of implementing the first ten data exchanges for transactions which represent the transactions most frequently entered in the Legal Information Network Exchange (LINX) system used by Pierce County Superior Court Clerk. Although Pierce County is the pilot court, once in production, the exchanges will be available to all superior courts.

More importantly, the data exchanges produced by the Superior Court Data Exchange project will be compliant with the National Information Exchange Model (NIEM) standards for sharing data between JIS applications supported by the AOC and its customers (courts and justice partners) with the goal of:

- Eliminating redundant data entry
- Improving data accuracy
- Providing access to real-time information for decision making
- Reducing support costs.

### Timeline for the Superior Court Data Exchange Project

High Level Activity	Start	Finish
<b>Superior Court Data Exchange Project</b> <ul style="list-style-type: none"> <li>➤ <i>The project will be deployed in (4) production releases. Each increment will deliver a set of production ready Superior Court Data Exchange services. Each increment is expected to take 3-4 months.</i></li> </ul>	<b>Q3, 2011</b>	<b>Q4, 2012</b>
Production Increment 1 – Implement first 10 data exchanges as approved by JISC in August 2011 (pilot with Pierce Co.)	Q3, 2011	Q4, 2011
Production Increment 2 (dependent on funding authorization)	Q1, 2012	Q2, 2012
Production Increment 3 (dependent on funding authorization)	Q2, 2012	Q3, 2012
Production Increment 4 (dependent on funding authorization)	Q3, 2012	Q4, 2012

### Superior Court Data Exchange Project Progress

- In June 2011, AOC released a request for proposal (RFP) to select a development contractor to implement the Superior Court Data Exchange. Sierra Systems, in partnership with CodeSmart, Inc., was selected as the Apparent Successful Vendor.
- The project plan calls for incremental publication of web services. The first production increment will focus on two deliverables:

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1. Implementing the core infrastructure (the foundation) that will be used by all data exchanges and;
  2. Implementing the first set of ten web services/data exchanges.
- Sierra Systems and CodeSmart started working on the Superior Court Data Exchange project August 29, 2011 and are currently working with AOC on preparation for code development.
  - Application design sessions are scheduled during September 2011 between AOC, Sierra Systems, and CodeSmart. Sierra Systems will deliver the project plan in September 2011.
  - The Superior Court Data Exchange project team is progressing with their development work on Information Exchange Package Definitions and Functional Specifications for future production increments which include the remaining 48 services.
  - AOC, Sierra Systems and CodeSmart are working together to complete the high level application design.

## Appendix A

The deliverables that were completed as part of the Superior Court Case Management Feasibility Study, including the study itself are available on the Administrative Office of the Courts website <http://www.courts.wa.gov> Look under the left menu title for Judicial Information System > Superior Court Management Feasibility Study.

The major deliverables for the project are:

- **Business Requirements Document:** Captures the business functionality required for business staff to perform their activities encompassed in the project scope.
- **Technical Requirements Document:** Captures the technical parameters required by the existing AOC Enterprise Architecture as well as the future technology roadmap.
- **Requirements Gap Analysis:** Captures the divergence of the best-few alternatives from the AOC requirements and the effort to bridge the gap.
- **Migration Strategy:** Describes a logically sequenced implementation plan for the best-few alternatives. It will include identification of impacts to legacy applications that provide similar or duplicate functionality to that provided by the best-few alternatives and include data considerations.
- **Integration Evaluation:** Describes the level of independence and interdependence of the best-few alternatives operating within the AOC systems environment to operate independently while integrating with AOC systems and functionality and how the alternatives would integrate with functionality provided by AOC legacy systems. This will also include data integration considerations.
- **Feasibility Report:** Delivers a comprehensive, formal written report to determine the feasibility of a project to implement a system or service which provides calendaring and caseflow management business functions of the Superior Courts. The feasibility study is scheduled to be presented at the September JISC meeting.
- **Refined Cost Analysis:** The Refined Cost Analysis (Deliverable 10) is a detailed bottom-up cost estimate. The High-Level Cost Estimate (Deliverable 9) was a scale-of-magnitude cost estimate and was delivered early in the project, prior to the completion of most analysis work. The Refined Cost Analysis results from analyses associated with developing the Gap Analysis (Deliverable 5), the Migration Strategy (Deliverable 6), the Integration Evaluation (Deliverable 7), and the Feasibility Study (Deliverable 8).

# Appendix B

## AOC Enterprise Architecture - Future State Architecture Diagram

