



## Judicial Information System Committee (JISC)

Friday, July 19, 2013 (1:00 p.m. – 4:30 p.m.)

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

SeaTac Facility: 18000 INTERNATIONAL BLVD, SUITE 1106, SEATAC, WA 98188

### AGENDA

1.	<b>Call to Order</b> <b>Introductions</b> <b>Appointment Confirmations</b> <b>Approval of Minutes</b> April 26	Justice Mary Fairhurst	1:00 – 1:05	Tab 1
2.	<b>JIS Budget Update</b> a. 11-13 Biennium b. 13-15 Budget Update c. JIS Fund Forecast	Mr. Ramsey Radwan, MSD Director	1:05 – 1:20	Tab 2
3.	<b>JISC Bylaw Changes for Data Dissemination Committee</b> a. Discussion: Add CLJ Administrator to DDC b. Request Attorney General Opinions <b>Decision Point:</b> Approve Bylaw Amendment	Judge Thomas Wynne	1:20 – 1:45	Tab 3
4.	<b>JIS Data Dissemination Policy Amendment</b> a. CLJ Data Destruction Rules <b>Decision Point:</b> Approve Policy amendment	Judge Thomas Wynne	1:45 – 1:55	Tab 4
5.	<b>Access to Justice Technology Principles Annual Report to the Supreme Court</b> <b>Decision Point:</b> Approve Report for Submission to Supreme Court	Mr. Kumar Yajamanam	1:55 – 2:05	Tab 5
	<b>Break</b>		2:05 – 2:20	
6.	<b>JIS Priority Project #2 (ITG 2): Superior Court Case Management Update</b> a. Project Update <b>Decision Point:</b> Approve Steering Committee Recommendation b. Independent QA Report	Ms. Maribeth Sapinoso, PMP Ms. Vonnie Diseth, ISD Director  Mr. Allen Mills	2:20 – 3:00	Tab 6
7.	<b>JIS Priority Project #1 (ITG 121) Superior Court Data Exchange</b> a. Project Update b. Pierce County Letter of June 24, 2013	Mr. Kevin Ammons Ms. Vonnie Diseth	3:00 – 3:40	Tab 7
8.	<b>Committee Reports</b> a. Data Dissemination Committee b. Data Management Steering Committee <ul style="list-style-type: none"> <li>JIS Priority #4 (ITG 9) – Add Accounting Data to the Data Warehouse</li> </ul>	Judge Thomas Wynne Mr. Rich Johnson	3:50 – 4:00 4:00 – 4:10	

9.	<b>IT Security Update</b>	Ms. Vonnie Diseth	4:10 – 4:30	
10.	<b>JIS Priority Project Updates</b> a. #3 (ITG 45) Appellate Court ECMS b. #5 (ITG 41) – CLJ Revised Computer Records Retention and Destruction Process c. Information Networking Hub (INH)	Mr. Martin Kravik Mr. Kevin Ammons  Mr. Dan Belles, PMP		Tab 8
11.	<b>Information Materials</b> a. ISD Monthly Report b. IT Governance Status Report c. CLJ COTS Support Letters			Tab 9

Persons with a disability, who require accommodation, should notify Pam Payne at 360-705-5277 [Pam.Payne@courts.wa.gov](mailto:Pam.Payne@courts.wa.gov) to request or discuss accommodations. While notice 5 days prior to the event is preferred, every effort will be made to provide accommodations, when requested.

## Future Meetings:

### 2013 Schedule:

September 6, 2013

October 25, 2013

December 6, 2013

## JUDICIAL INFORMATION SYSTEM COMMITTEE

April 26, 2013  
9:00 a.m. to 12:00 p.m.  
AOC Office, SeaTac, WA

### **DRAFT - Minutes**

#### **Members Present:**

Mr. Larry Barker  
Chief Robert Berg  
Judge Jeanette Dalton (phone)  
Ms. Callie Dietz (phone)  
Justice Mary Fairhurst, Chair  
Judge James Heller  
Mr. William Holmes  
Mr. Rich Johnson  
Ms. Joan Kleinberg  
Judge J. Robert Leach  
Ms. Marti Maxwell  
Ms. Barb Miner  
Judge Steven Rosen  
Ms. Aimee Vance  
Ms. Yolande Williams  
Judge Thomas J. Wynne

#### **Members Absent:**

Mr. Steward Menefee

#### **AOC Staff Present:**

Mr. Kevin Ammons  
Ms. Tammy Anderson  
Mr. Dan Belles  
Ms. Kathy Bradley  
Mr. Bill Cogswell  
Mr. Keith Curry  
Ms. Vonnie Diseth  
Mr. Martin Kravik  
Ms. Kate Kruller  
Ms. Vicky Marin  
Mr. Dirk Marler  
Ms. Mellani McAleenan (phone)  
Ms. Pam Payne  
Mr. Ramsey Radwan  
Ms. Maribeth Sapinosa  
Mr. Mike Walsh  
Mr. Kumar Yajamanam

#### **Guests Present:**

None

### **Call to Order**

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

### **February 22, 2013 Meeting Minutes**

Justice Fairhurst asked if there were any additions or corrections to the February 22nd meeting minutes, hearing none, Justice Fairhurst deemed them approved.

### **March 22, 2013 Meeting Minutes**

Justice Fairhurst asked if there were any additions or corrections to the March 22nd meeting minutes, hearing none, Justice Fairhurst deemed them approved.

### **Legislative Update**

Ms. Mellani McAleenan provided the JISC with an update on legislative actions. Ms. McAleenan discussed issues such as the likelihood of a special session, budget concerns, and policy information. From a BJA perspective, both bills that would authorize new judicial positions in Whatcom and Benton-Franklin counties had been passed by the Legislature and delivered to the Governor's office. Bills regarding the treatment of judicial elections and other nonpartisan offices are also passing. The fate of bills relating to representation by the Attorney General's Office for state entities regarding lawsuits over funding was uncertain at the time of this meeting. House Bill 1651, relating to juvenile records, died as of the opposite house cutoff. A meeting with Representative Kagi, the bill's prime sponsor, will be arranged during the interim to discuss working out legislation that all involved can live with. A Sine Die report will be distributed to the members of the JISC after the conclusion of the regular Legislative session.

### **JIS Budget Update (11-13 Biennium)**

Mr. Ramsey Radwan presented the JISC with bi-monthly report of expenditures (green sheet) through March 31, 2013. There were no concerns on any of the budget/revenue fronts or current biennium issues. Mr. Radwan addressed concerns regarding unspent funds on projects and how those funds would carry over into the next biennium.

### **JIS Budget Update (13-15 Biennium)**

Mr. Radwan presented the JISC with a summary of the budget proposals from the Legislature for the upcoming 2013-15 biennium. A comparison was made between the proposed Senate budget and the proposed House budget, and a comparison to the request and needs of the courts. Mr. Radwan provided information on contacts with legislators regarding budget concerns and the potential for removing or reinstating funding for programs and projects within the courts.

### **JIS Fund Forecast**

No Report

### **ITG #2 - SC-CMS Update**

Ms. Maribeth Sapinosa presented the current status of the Superior Court Case Management System (SC-CMS) Project beginning with the major milestone accomplished on March 19, 2013 where the Project Steering Committee voted unanimously to recommend AOC proceed into Contract Negotiations with Tyler Technologies, Inc. A special JISC meeting followed on March 22, 2013 in which the JISC voted unanimously to approve the Project Steering Committee's recommendation.

Up to two Subject Matter Experts were selected from each of the associations by the Project Steering Committee to participate in contract negotiations and are represented in the "Your Representatives on the SC-CMS Project" diagram that was provided to the JISC members and is also available on the project website.

The primary negotiation team, which includes the legal team, Vonnie Diseth, Ramsey Radwan, and the project managers, met with Tyler for three full days earlier this week to introduce the new items (desired outcomes that were part of the Project Steering Committee's recommendation), Tyler's exceptions to the terms and conditions set forth in the draft contract of the RFP, and Tyler's assumptions of the RFP.

The meetings with Tyler went well and as a result from the meetings, there are homework assignments for AOC to take back with the appropriate subject matter experts from the courts and AOC for their input and expertise. For the next month, breakout sessions with the appropriate subject matter experts have been scheduled to discuss business requirements, technical requirement, legal terms and languages of the contract, hardware requirement, and maintenance.

One of the five new functionalities included in the Project Steering Committee's recommendation of desired outcomes has been removed. The Attorney Manager, designed to provide case tracking features for both Prosecutorial and Public Defender Offices, was decided

by the Project Steering Committee that this should not be included. Instead, the Attorney Web Portal was the desired outcome which is a module already included in Tyler's base product at no additional cost.

The target for finalizing the contract is in June with the intention of having enough time for the Project Steering Committee's review and approval of it before requesting JISC's approval for the next JISC meeting scheduled for June 28, 2013.

### **JISC Bylaw Change for Data Dissemination Committee**

Judge Thomas Wynne presented the JISC with information regarding a bylaw change for the Data Dissemination Committee. There were no alterations to the proposed change suggested by the JISC, and it was deemed that the bylaw change would be brought forth at the next JISC meeting for approval.

### **ITG #45 Appellate Court ECMS Update**

Mr. Martin Kravik presented a status update on the AC-ECMS project. He reported that the release of the revised RFP on January 29, 2013 resulted in the receipt of four vendor proposals on March 6, 2013.

Two of the proposals passed mandatory requirement screening and advanced to the written proposal evaluation phase.

On March 15, 2013, the project Executive Steering Committee met and unanimously elected to advance the highest scoring vendor to the vendor demonstration phase. Vendor demonstrations were conducted on April 10-11, 2013.

On April 17, 2013, the project Executive Steering Committee met to discuss the overall results of the proposal evaluation process and unanimously elected to recommend to the JISC the selection of ImageSoft, Inc. as the Apparent Successful Vendor (ASV).

Significant next steps include notification of the ASV, contract negotiations, contract execution, and development of the project implementation schedule.

Ms. Vonnie Diseth led the discussion on the Decision Point to approve the project Executive Steering Committee ASV recommendation.

**Motion:** Judge J. Robert Leach

I move that the JISC adopt the Appellate Court ECMS Project Executive Steering Committee recommendation to proceed with contract negotiations with the Apparent Successful Vendor to acquire and implement an Appellate Court Enterprise Content Management System.

**Second:** Judge James Heller

**Voting in Favor:** All present (Ms. Dietz, phone)

**Opposed:** None

**Absent:** Mr. Stew Menefee

## **ITG #121 Superior Court Data Exchange Update**

Mr. Mike Walsh presented the update on the Superior Court Data Exchange Project (SCDX). The Pierce County docket services roll out has been delayed until required modifications to the docket services are completed. The modification should be ready for Pierce County to restart testing by the end of April.

Only 13 web services remain to be tested by AOC's QA testing team. There are 29 services that have been deployed; another 24 are awaiting their final test result review and sign off.

A general discussion regarding the critical success factors for completing the project was conducted. The critical success factors are: deployment of the 66 web services, on boarding the LINX to SCOMIS data exchanges, and discontinuing the payment for dual entry. Questions were raised regarding the time it will take for Pierce County to deploy the necessary services to discontinue the payment to Pierce County for manually entering LINX cases into SCOMIS. The JISC is concerned they cannot determine how long this roll out will take. They want to be certain that the LINX data exchanges are being given the priority and resources needed to on board as efficiently as possible. They requested again that Pierce present their roll out strategy and schedule to the JISC as one of the meeting project reports.

Ms. Yolande Williams has requested that the project team compile a lessons learned report so that future on boarding initiatives may take advantage of current project risks and issue resolution and anticipate potential problems areas.

## **ITG #41 Remove CLJ Archiving and Purge Certain Records**

Ms. Kate Kruller, ITG 41 Project Manager, updated the JISC on project activity. A great deal of progress was made in the past two months:

In March and April, ITG 41 Project completed the Project Communications Management Plan, completed the ITG 41 Project Steering Committee review of the revised destruction requirements, and concurrently progressed with the Restore Archive Cases process. To date, 2.9 million cases have been addressed and processed (out of 7.6 million total).

Last week, the project suspended the Restore Archived Cases process temporarily to allow AOC to diagnose an issue the courts are having with ACORDS. Barring any long-term continuation of this issue, the Restore Archive Cases process is still on schedule.

Ms. Kruller provided a tri-fold handout that contained a Summary Chart of the proposed business rules that will be applied once case restoration is complete.

The ITG 41 project team members have been presenting the proposed policy rules to the District and Municipal Court Management Association (DMCMA) Technology Committee and Board, along with the District and Municipal Court Judge's Association Technology Committee and Board. The project outreach information has also been a part of the DMCMA Spring Regional Training effort, held in eleven (11) locations around the state, and will participate in the DMCMA Spring Conference on May 20, 2013.

## **INH Data Exchange Initiative**

Mr. Dan Belles, Project Manager, provided a status update on the Information Networking Hub (INH) Project. Mr. Belles began by stating the INH project continued to make good progress over the last month. Mr. Belles continued by explaining the overall INH Project objectives. Mr. Belles stated that the project was currently focused on the Middleware Data Exchanges in support of the SC CMS project and the Enterprise Data Repository (EDR). Mr. Belles continued by providing status on these efforts, including improvements made to the Biz Talk messaging platform and completion of at least eight INH data exchanges.

Mr. Belles then provided status on the EDR regarding the current database design review process and the data quality automation Proof of Concept (POC). Mr. Belles provided some additional information on the AOC's on-going data governance effort and explained how it relates to the selection of a data quality tool.

Mr. Belles then provided a quick update on the INH project schedule for the current year and explained that the goal was to have all the INH data exchanges "production ready" before the end of the year. He also explained what "production ready" meant and that some of the services may still require some design modifications depending on the requirements of the SC CMS vendor. Mr. Belles stated that they were planning on meeting with the vendor in the middle of May to begin discussing integration requirements.

Mr. Belles then reviewed current project risks, issues and mitigation strategies. Mr. Belles stated that the high risk concerning the shared QA environment conflict was being mitigated successfully by establishing a separate environment for use by both the INH and SCDX projects. Mr. Belles stated that the risk posed by the limited Java developer resources had also been successfully addressed and was no longer a significant risk to the project.

Mr. Belles concluded his presentation by covering the next steps in the project, which would focus on continuing work on the middleware services, completing the EDR design review and making a presentation to ISD leadership with recommendations regarding the acquisition of a data quality tool.

## Committee Reports

### ***Data Dissemination Committee:***

Judge Wynne provided the JISC with an update on the actions of the Data Dissemination Committee. A public hearing was held on April 12 in Everett regarding possible amendments to GR-15 and GR-31. The hearing was transcribed by a court reporter. No decisions have yet been made, but the initial information gathering was completed. Inconsistencies in the sealing of juvenile records have been identified and will be addressed. The next meeting will address issues with ITG-41, policy amendments for the Data Dissemination Committee, and discuss further amendments to GR-15.

### ***Data Management Steering Committee:***

Mr. Rich Johnson provided the JISC with an update on the Data Management Steering Committee. Work on the accounting data and the data warehouse project is moving forward on schedule. The committee is looking at shifting focus towards a data governance perspective as projects move forward.

### Adjournment

The meeting was adjourned by Justice Fairhurst at 11:30 a.m.

### Next Meeting

The next meeting will be June 28, 2013, at the AOC SeaTac Facility; from 9:00 a.m. to 3:00 p.m.

### Action Items

	<b>Action Item – From March 4<sup>th</sup> 2011 Meeting</b>	<b>Owner</b>	<b>Status</b>
1	At the end of the legislative session, ask the Supreme Court Rules Committee if it wants the Data Dissemination Committee to revisit GR15 in light of <i>Ishikawa</i> and <i>Bone-Club</i> .	Vicky Marin, Justice Fairhurst	Completed
	<b>Action Item – From October 7<sup>th</sup> 2011 Meeting</b>		
2	Confer with the BJA on JISC bylaw amendment regarding JISC communication with the legislature.	Justice Fairhurst	
	<b>Action Item – From February 22<sup>nd</sup> 2013 Meeting</b>		
4	Draft amendment to JISC Bylaws giving Data Dissemination Committee the power to request an AG opinion through the Court Administrator, without the prior approval of the JISC.	Vicky Marin	Completed 4/26/13
	<b>Action Item – From April 26<sup>th</sup> 2013 Meeting</b>		
5	Include DMCMA and DMCJA letters supporting the COTS approach in the packet for the June 28 meeting.	Vicky Marin, Pam Payne	Completed



**BUDGET UPDATE  
DOCUMENTS  
WILL BE HANDED  
OUT AT THE 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.
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. 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, appointed by the JISC Chair:

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

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

July 19, 2013

**DECISION POINT – JISC Bylaw Amendment: Data Dissemination  
Committee Requesting Attorney General Opinions**

**MOTION:**

I move to approve an amendment to the JISC Bylaws to permit the Data Dissemination Committee to request formal and informal opinions from the Attorney General's Office through the State Court Administrator.

**I. BACKGROUND**

Among its duties, the JISC Data Dissemination Committee (DDC) is charged with acting on requests, and hearing appeals on administrative denials of requests, for JIS access by non-court users. On or about December 3, 2012, the Committee received a request from Data Driven Safety, Inc. (DDS) for traffic infraction information from cases disposed of within the last three years.

During the DDC meeting on February 12, 2013, the Committee discussed whether release of the JIS traffic infraction database is permitted under the JIS Data Dissemination Policy and under federal law. Due to the Committee members' questions about the implications of state and federal law on the DDS request for the release of the traffic infraction case information, the Committee voted to ask the State Court Administrator to request an informal letter opinion from the Attorney General on this issue.

Requesting Attorney General opinions through the State Court Administrator is not among the specifically delineated powers of the DDC. On February 22, 2013, the JISC approved the DDC to request an information letter opinion from the Attorney General's Office through the State Court Administrator.

**II. DISCUSSION**

The Data Dissemination Committee asked the JISC to give the DDC the authority to directly request opinions from the Attorney General's Office through the State Court Administrator without having to first seek the approval of the JISC. On February 22, 2013, the JISC informally agreed to give the DDC that authority. This change in the JISC bylaws formalizes that decision.

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BYLAWS**

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**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.

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

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#### **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.
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.

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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. Request written opinions of the Washington State Office of the Attorney General through the State Court Administrator on questions of law related to access to and dissemination of JIS data.

5.6. Other powers as assigned by the JISC.

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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.

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Judicial Information System Committee Meeting

July 19, 2013

**DECISION POINT – Amendment to Data Dissemination Policy Regarding Retention of Court Records by Courts of Limited Jurisdiction**

**MOTION:**

I move to adopt the Data Dissemination Committee’s proposed amendment to the Data Dissemination Policy regarding retention of court records by courts of limited jurisdiction.

**I. BACKGROUND**

The JISC Data Dissemination Policy (Policy) is promulgated by the JISC pursuant to JISCR 12 and 15(d), and provides guidelines in which data is released from the Judicial Information System (JIS). The Policy applies to all requests for computer-based court information subject to JISCR 15. The last time the Policy was amended by the Data Dissemination Committee was June 26, 1998.

The Data Dissemination Committee was established by Article 7 of the JISC Bylaws and acts on the behalf of the JISC in addressing issues regarding the access to the JIS and the dissemination of information from the database. The Data Dissemination Committee also recommends to the JISC changes to the JIS policy and to statutes or court rules regarding access to court records.

In 2008, a work group was organized at the direction of the Data Dissemination Committee and chaired by Pierce County District Court Judge James Heller to review the retention schedules of courts of limited jurisdiction.

Based on the work group’s recommendations, the Data Dissemination Committee and the JISC voted to enact a retention schedule. This policy amendment memorializes the decisions of these two committees.

**II. DISCUSSION**

On May 31, 2013, the Data Dissemination Committee voted unanimously to amend the Data Dissemination Policy and forward it to the JISC for approval. The Committee also provided a comment period for interested parties to submit their commentary about the proposed change.

As of July 3, 2013, staff for the Data Dissemination Committee received four comments that are attached to this memo and are summarized as follows:

1. On June 25, 2013, Douglas County District Court Administrator Marcella Presler requested language be added to the Data Dissemination Policy amendment so that the new subsection V.D stated:

“A judge may order or have in place a policy that a specific record shall not be purged. The court shall enter specific findings on the record supporting its decision or follow the policy as set forth and signed by the judge.”
2. On July 3, 2013, the District and Municipal Court Judges’ Association (DMCJA) submitted a letter expressing:
  - A. Concern from DMCJA members that non-conviction data for domestic violence offenses be kept longer than the proposed retention schedule allowed.
  - B. Concern about purging cases that have case types with no disposition after three years when the Judicial Needs Estimate uses five years of data to make necessary calculations.
  - C. Concern over the Policy’s new subsection V.D that allows a judge to order a specific record not to be purged and to enter findings on the record supporting the decision. DMCJA requested that the JISC not adopt this provision unless a corresponding policy or set of criteria for such retention be established.
3. On July 3, 2013, Washington Defender Association Executive Director Christie Hedman commented that all “not guilty” and “not committed” cases be kept in perpetuity instead of being purged at ten years. Her reasoning is that those who are found not guilty should have the same ability to prove their verdicts as those who are convicted.
4. On July 3, 2013, Linda Callahan of Callahan Law, P.S., Inc. also submitted concerns that “guilty” findings are kept in perpetuity, whereas “not guilty” findings are purged after ten years. Ms. Callahan also expressed frustration over the limited JIS access to attorneys who are not prosecutors and public defenders.

**III. DATA DISSEMINATION COMMITTEE RECOMMENDATION**

The Data Dissemination Committee recommends to the Judicial Information System Committee that the Data Dissemination Policy be amended to include the new amendment regarding retention of court records by courts of limited jurisdiction.

**IV. OUTCOME IF NOT PASSED**

Provide direction to the Data Dissemination Committee for amending the Data Dissemination Policy or provide language to be added to the Policy. If the Policy is not passed, there are still concerns about the impact of non-conviction data on an individual's opportunities in such areas as housing or employment.

April 25, 2008

TO: Justice Mary Fairhurst, Chair  
Judicial Information Systems Committee

FROM: Judge Jim Heller, Chair, CLJ Records Retention Workgroup  
Member – JISC Data Dissemination Committee

RE: Retention Schedule

At the request of former Justice Bobbe Bridge, former chair of the JISC, and Judge Grosse the Courts of Limited Jurisdiction Retention Work Group was formed to address a number of issues that have arisen with regard to retention of certain criminal court records in courts of limited jurisdiction that are readily accessible by the public. As you know, the Supreme Court has issued a number of holdings that require court records to be open and accessible to the public. Also, the adoption of GR 31 and the amendments to GR 15 support this open and accessible policy.

Currently, courts of limited jurisdiction follow retention guidelines promulgated by the Secretary of State, although there is some limited oversight by the Records Management Advisory Committee (RMAC). While there has always been a question whether the courts are bound by these guidelines, the courts have followed the Secretary of State's guidelines for years so the retention work group, which I chaired, used the guidelines as a model when drafting a retention policy.

There are certain court records that are "essential" and cannot be removed from JIS. For example, all criminal judgments and sentences should remain in the system. [CrRLJ 7.2\(e\)\(3\)](#) says:

Notwithstanding any other statute or rule to the contrary, each judgment and sentence form, either electronic or hard copy, shall be preserved by the court in perpetuity.

There are other court records that are recognized for public policy and safety reasons to be "essential" records. These involve domestic violence and anti-harassment case files. We agree that these records should never be destroyed or placed on a retention schedule.

The workgroup concluded, however, that there are other court records that may not have been intended to be open to the public for long periods of time, especially now with remote accessibility of electronic court records. For example, the work group raised issues regarding the retention of non-conviction information for long periods of time. Such court records can be misleading, especially when it is on AOC's name/case search "public view" website, which provides very limited and specific information. Extended

retention of these records serves no public purpose and may be a disservice to the public and the subject of the records.

I have attached the workgroup's recommended retention schedule which is based on AOC's current guidelines for retention, archiving and destruction. This retention schedule was unanimously approved by the Data Dissemination Committee at our last meeting on February 22, 2008. In case you are unfamiliar with the case type abbreviations in this attachment, they mean the following:

PR -- Parking  
PC -- Probable Cause  
IN -- Civil Infraction  
IT -- Traffic Infraction  
CF -- Criminal Felony  
CN -- Criminal Non- Traffic  
CT -- Criminal Traffic  
CV -- Civil  
SC -- Small Claims

Proposed changes:

### **1. Remove Archiving Requirement**

The clerks have requested that the archiving requirement be removed. A number of clerks have complained that they spend a great amount of time unarchiving records for the public. A simple way to avoid this is to simply not archive the court records, but remove them from the records at the same time the records are listed for destruction.

### **2. Computer Purge of Probable Cause Hearing after Three Years**

Currently, records of probable cause hearings remain on court records indefinitely. Any subsequent charge or filing of information is recorded under different case numbers. The record of probable cause hearing serves no purpose after a period of time. Either the case was filed and the record of this filing and subsequent actions remain on the record or no action was ever taken. The fact that there was a probable cause hearing loses its value after a period of time has passed. The work group chose a retention period of three years.

### **3. Computer Purge of Criminal Felony after Three Years**

Similar, to probable cause hearings, records of criminal felonies in courts of limited jurisdictions lose their value after a period of time. The cases are either bound over to Superior Court for filing or dismissed and filed as a misdemeanor in the court of limited jurisdiction. The history of the case is maintained in a subsequent filing, not

in the current filing of felony. The record of a criminal felony in courts of limited jurisdiction serves no purpose after a period of time and simply causes confusion.

**4. Computer Purge of traffic and non-traffic criminal cases if case is either dismissed or vacated.**

Most complaints from the public come from people who had their case dismissed or vacated, but the record of the case still remains available. While it is important to keep a record of these cases for a long period of time in order to have a clear picture of how a particular court is handling a specific case or certain types of cases (e.g. DUIs), the importance of maintaining these records diminishes over time and after a certain period of time becomes a disservice to the subject of the records. Several people have claimed that they have been turned down for better jobs or worse, remain unemployable, because an arrest record where no conviction resulted remained publicly accessible. The removal of these records would be consistent with the legislative intent and supported by the reasoning set forth in [State v. Breazeale, 144 Wn.2d 829, 31 P.3d 1155 \(2001\)](#).<sup>1</sup> The workgroup chose a retention period of 10 years.

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<sup>1</sup> The legislature has recognized that law enforcement records that contain unproven allegations (“non-conviction data”) can be “deleted” under [RCW 10.97.060](#).



# Data Dissemination Policy

AUTHORITY AND SCOPE

DEFINITIONS

ACCESS TO JIS LEGAL RECORDS

JIS PRIVACY AND CONFIDENTIALITY POLICIES

RETENTION OF COURT RECORDS BY COURTS OF LIMITED JURISDICTION

PROCEDURES

ACCESS TO AND USE OF DATA BY COURTS

ACCESS TO AND USE OF DATA BY CRIMINAL JUSTICE AGENCIES

ACCESS TO AND USE OF DATA BY PUBLIC PURPOSE AGENCIES

E-MAIL

VERSION HISTORY

APPENDIX A RETENTION SCHEDULE

## I. AUTHORITY AND SCOPE

- A. These policies govern the release of information in the Judicial Information System (JIS) and are promulgated by the JIS Committee, pursuant to JISCR 12 and 15(d). They apply to all requests for computer-based court information subject to JISCR 15.
  1. These policies are to be administered in the context of the requirement of Article I, § 10 of the Constitution of the State of Washington that "Justice in all cases shall be administered openly, and without unnecessary delay," as well as the privacy protections of Article I, § 7.
  2. These policies do not apply to requests initiated by or with the consent of the Administrator for the Courts for the purpose of answering a request vital to the internal business of the courts. See JISCR 15(a).

## II. DEFINITIONS

- A. Records
  1. "**JIS record**" is an electronic representation (bits/bytes) of information either stored within, derived from, or accessed from the OAC. *(Amended February 27, 1998.)*
  2. "**JIS legal record**" is a JIS record that is the electronic duplication of the journal of proceedings or other case-related information which it is the duty of the court clerk to keep, and which is programmed to be available in human readable and retrievable form. Case information reflecting the official legal file and displayed by JIS programs are JIS legal records.
- B. JIS Reports
  1. "**JIS reports**" are the results of special programs written to retrieve and manipulate JIS records into a human readable form, other than the JIS legal record.
  2. "**Compiled reports**" are based on information related to more than one case or more than one court. As used in this policy, "compiled reports" do not include index reports.
- C. Data Dissemination Management
  1. "**Data dissemination**" is the reporting or other release of information derived from JIS records.
  2. The "**data dissemination manager**" is the individual designated within the Office of the Administrator for the Courts and within each individual court and assigned the responsibility for administration of

data dissemination, including responding to requests of the public, other governmental agencies, or other participants in the judicial information system. The name and title of the current data dissemination manager for each court and the Office of the Administrator for the Courts shall be kept on file with the Office of the Administrator for the Courts.

D. **Electronic Data Dissemination Contract**

The "**electronic data dissemination contract**" is an agreement between the Office of the Administrator for the Courts and any entity, except a Washington State court (Supreme Court, court of appeals, superior court, district court, or municipal court), that is provided information contained in the JIS in an electronic format. The data dissemination contract shall specify terms and conditions, as approved by the Judicial Information System Committee, concerning the data including but not limited to restrictions, obligations, and cost recovery agreements. Any such contract shall at a minimum include the language contained in Exhibit A – Electronic Data Dissemination Contract. (*Amended February 27, 1998.*)

III. **ACCESS TO JIS LEGAL RECORDS**

A. **Open Records Policy.** The following principles apply to the interpretation of procedural rules or guidelines set forth in this policy.

1. Information related to the conduct of the courts' business, including statistical information and information related to the performance of courts and judicial officers, is to be disclosed as fully as resources will permit.
2. In order to effectuate the policies protecting individual privacy which are incorporated in statutes, case law, and policy guidelines, direct downloading of the database is prohibited except for the index items identified in Section III.B.6. Such downloads shall be subject to conditions contained in the electronic data dissemination contract. (*Amended February 27, 1998.*)
3. Dissemination of compiled reports on an individual, including information from more than one case, is to be limited to those items contained in a case index, as defined in Section III.B.6.
4. Privacy protections accorded by the Legislature to records held by other state agencies are to be applied to requests for computerized information from court records, unless admitted in the record of a judicial proceeding, or otherwise made a part of a file in such a proceeding, so that court computer records will not be used to circumvent such protections.
5. **Contact Lists:** Access to JIS information will not be granted when to do so would have the effect of providing access to lists of individuals for commercial purposes, defined as set forth in RCW 42.17.260(6) and WAC 390-13-010, i.e., that in connection with access to a list of individuals, the person requesting the record intends that the list will be used to communicate with the individuals named in the record for the purpose of facilitating profit expecting activity.
6. Except to the extent that dissemination is restricted by Section IV.B, or is subject to provisions in the electronic data dissemination contract, electronic records representing court documents are to be made available on a case-by-case and court-by-court basis as fully as they are in hard copy form. (*Amended February 27, 1998.*)

- B. All access to JIS information is subject to the requirements of the criteria for release of data specified in JISCR 15(f): availability of data, specificity of the request, potential for infringement of personal privacy created by release of the information requested, and potential disruption to the internal ongoing business of the courts. JIS information provided in electronic format shall be subject to provisions contained in the electronic data dissemination contract. *(Amended February 27, 1998.)*
1. Court data dissemination managers will restrict the dissemination of JIS reports to data related to the manager's particular court, or court operations subject to the supervision of that court, except where the court has access to JIS statewide indices.
  2. Routine summary reports will be made available to the public upon request, subject to the payment of an established fee and so long as such request can be met without unduly disrupting the on-going business of the courts.
  3. Access to JIS legal records, in the form of case-specific records, will be permitted to the extent that such records in other forms are open to inspection by statute, case law and court rule, and unless restricted by the privacy and confidentiality policies below.
  4. Individuals, personally or through their designees, may obtain access to compiled legal records pertaining to themselves upon written request, accompanied by a signed waiver of privacy.
  5. No compiled reports will be disseminated containing information which permits a person, other than a judicial officer or an attorney engaged in the conduct of court business, to be identified as an individual, except that data dissemination managers may disseminate the following:
    - a. Public agency requested reports. Reports requested by public agencies which perform, as a principal function, activities directly related to the prosecution, adjudication, detention, or rehabilitation of criminal offenders, or to the investigation, adjudication, or enforcement of orders related to the violation of professional standards of conduct, specifically including criminal justice agencies certified to receive criminal history record information pursuant to RCW 10.97.030(5)(b).
    - b. Personal reports, on the request or signed waiver of the subject of the report.
    - c. On court order.
  6. An index report, containing some or all of the following information, may be disseminated: *(Amended February 27, 1998.)*
    - a. filing date;
    - b. case caption;
    - c. party name and relationship to case (e.g., plaintiff, defendant);
    - d. cause of action or charge;
    - e. case number or designation;
    - f. case outcome;
    - g. disposition date.

*(III.B.6.f. and III.B.6.g. added December 5, 1997.)*

An index report provided in electronic format shall be subject to the provisions contained in the electronic data dissemination contract. *(Amended February 27, 1998.)*

7. A report sorted by case resolution and resolution type, giving index criteria except individual names, may be compiled and released.  
(Section added June 21, 1996.)

#### IV. JIS PRIVACY AND CONFIDENTIALITY POLICIES

- A. Information in JIS records which is sealed, exempted, or otherwise restricted by law or court rule, whether or not directly applicable to the courts, may not be released except by specific court order.
- B. Confidential information regarding individual litigants, witnesses, or jurors that has been collected for the internal administrative operations of the courts will not be disseminated. This information includes, but is not limited to, credit card and P.I.N. numbers, and social security numbers. Identifying information (including, but not limited to, residential addresses and residential phone numbers) regarding individual litigants, witnesses, or jurors will not be disseminated, except that the residential addresses of litigants will be available to the extent otherwise permitted by law. (Section amended September 20, 1996; June 26, 1998.)
- C. A data dissemination manager may provide data for a research report when the identification of specific individuals is ancillary to the purpose of the research, the data will not be sold or otherwise distributed to third parties, and the requester agrees to maintain the confidentiality required by these policies. In such instances, the requester shall complete a research agreement in a form prescribed by the Office of the Administrator for the Courts. The research agreement shall 1) require the requester to explain provisions for the secure protection of any data that is confidential, using physical locks, computer passwords and/or encryption; 2) prohibit the disclosure of data in any form which identifies an individual; 3) prohibit the copying or duplication of information or data provided other than for the stated research, evaluative, or statistical purpose. (Amended June 6, 1997.)

#### V. RETENTION OF COURT RECORDS BY COURTS OF LIMITED JURISDICTION\*

- A. Courts of Limited Jurisdiction in the State of Washington, utilizing or providing data to JIS, shall retain court records, as defined by GR 31, in accordance with this policy. Courts of Limited Jurisdiction:
  1. Are not required by law to maintain all court records in perpetuity.
  2. Shall not archive electronic court records in the Judicial Information System.
  3. The Judicial Information System shall destroy specified court records in accordance with the attached retention schedule.
- B. Destruction of court records maintained in electronic form in the JIS system shall be automated based upon the attached retention schedule.
- C. AOC ISD shall provide a monthly Destruction of Records Report to Limited Jurisdiction Courts. The Destruction of Records Report shall be utilized by Limited Jurisdiction Courts as a records management tool to assist in timely destruction of court records maintained in paper form as set forth in the attached retention schedule.
- D. A judge may order that a specific record shall not be purged. The court shall enter specific findings on the record supporting its decision.

\* This section does not apply to JIS records of non-JIS courts (i.e. Seattle Municipal Court).

#### ~~V~~-VI. PROCEDURES

- A. Uniform procedures for requesting JIS information, and for the appeal of decisions of data dissemination managers, shall be as set forth in policies issued by the Office of the Administrator for the Courts pursuant to JISCR 15(d).
- B. In any case where a report is provided, the report must be accompanied by a suitable disclaimer noting that the court can make no representation regarding the identity of any persons whose names appear in the report, and that the court makes no representation as to the accuracy and completeness of the data except for court purposes.

#### ~~VI~~-VII. ACCESS TO AND USE OF DATA BY COURTS

Courts and their employees may access and use JIS records only for the purpose of conducting official court business. Such access and use shall be governed by appropriate security policies and procedures.

#### ~~VII~~-VIII. ACCESS TO AND USE OF DATA BY CRIMINAL JUSTICE AGENCIES

- A. "Criminal justice agencies" as defined in RCW Chapter 10.97 shall have additional access to JIS records beyond that which is permitted the public.
- B. The JIS Committee shall approve the access level and permitted use(s) for classes of criminal justice agencies including, but not limited to, law enforcement, prosecutors, and corrections. An agency that is not covered by a class may request access.
- C. Agencies requesting access under this provision shall identify the information requested and the proposed use(s).
- D. Access by criminal justice agencies shall be governed by an electronic data dissemination contract with each such agency. The contract shall:
  1. Specify the data to which access is granted.
  2. Specify the uses which the agency may make of the data.
  3. Include the agency's agreement that its employees will access the data only for the uses specified.

#### ~~VIII~~-IX. ACCESS TO AND USE OF DATA BY PUBLIC PURPOSE AGENCIES

- A. "Public purpose agency" includes governmental agencies included in the definition of "agency" in RCW 42.17.020 and other non-profit organizations whose principal function is to provide services to the public.
- B. Upon approval by the JIS Committee, public purpose agencies may be granted additional access to JIS records beyond that which is permitted the public.
- C. Agencies requesting additional access under this provision shall identify the information requested and the proposed use(s). In reviewing such requests, the JISC will consider such criteria as:
  1. The extent to which access will result in efficiencies in the operation of a court or courts.
  2. The extent to which access will enable the fulfillment of a legislative mandate.
  3. The extent to which access will result in efficiencies in other parts of the criminal justice system.
  4. The risks created by permitting such access.
- D. Access by public purpose agencies shall be governed by an electronic data dissemination contract with each such agency. The contract shall:
  1. Specify the data to which access is granted.
  2. Specify the uses which the agency may make of the data.

3. Include the agency's agreement that its employees will access the data only for the uses specified.

~~X~~.X. **E-MAIL**

The JIS provides e-mail for official court business use only. Access to judicial officers' and court employees' e-mail is restricted. Access to a judicial officer's e-mail files shall only be granted with the permission of the judicial officer involved. Request for access to a court employee's e-mail or to logs containing records on an employee's e-mail shall be subject to the review and approval of the county clerk if the employee is employed in the clerk's office, or the presiding judge or court administrator if the employee is employed by the court. Nothing in this policy shall be used as a reason to withhold records which are the subject of a subpoena or otherwise available to the public.

~~X~~.XI. **VERSION HISTORY**

These policies shall take effect 30 days from the date of their adoption by the Judicial Information Systems Committee, May 19, 1995.

- o Adopted May 19, 1995
- o Amended June 21, 1996
- o Amended September 20, 1996
- o Amended June 6, 1997
- o Amended December 5, 1997
- o Amended February 27, 1998
- o Amended June 26, 1998

## APPENDIX A RETENTION SCHEDULE

Retention of Records Summary					
<b>Casetype = CV, SC, or PR</b> The system will determine retention based on overall casetype & cause code	<b>Casetype</b>	<b>Cause Code</b>	<b>Retention</b>	<b>Notes:</b> > All retention periods begin after case is closed > Case is retained based on the longest retention period for any charge on the case > See Plea / Sentencing codes at Inside Courts website for code descriptions	
	CV-Civil	DVP, HAR, SXP	Never Purge		
	CV-Civil	Any other	10 years & 4 months		
	SC-Small Claims PR - Parking (VRV)	Any	3 years		
<b>Casetype = IT, IN, CT, CN, PC, CF</b> The system will determine retention based on casetype and disposition of each charge	<b>Finding / Judgment Types</b>	<b>Casetype of Charge</b>			<b>Finding / Judgment Codes Included</b>
		<b>CT, CN</b>	<b>PC, CF</b>	<b>IT, IN</b>	
	<b>Guilty / Committed</b>	Never purged	Never purged	3 yrs	AS, BF, C, P, G, GO, GS, GV, GR, PI, RP, GY, GZ
	<b>Not Guilty / Not Committed</b>	10 yrs	10 yrs	3 yrs	NG, NC
	<b>46.63.070 Deferred Finding (IT only)</b>	NA	NA	7 yrs	CD, DD
	<b>Dismissed - Incompetency, or Not Guilty - Insanity</b>	Never purged	Never purged	3 yrs	D, DO, DW with reason code of IC; or NS
	<b>10.05 Deferred Prosecution</b>	Never purged	Never purged	3 yrs	GO, GD; or D, DO, DW with dismissal reason code of DP
	<b>Dismissed for all other reasons</b>	10 yrs	3 yrs	3 yrs	D, DO, DW, or OD, with a dismissal reason code of blank or anything other than IC, DP, or FD
	<b>Vacated</b>	Never purged	Never purged	N/A	V
	<b>Case Transferred</b>	3 yrs	3 yrs	3 yrs	BO, CV; or D with a reason of FD
<b>Amended</b>	Retention not based on AM finding Retention is based solely on issues with findings other than AM			AM	

## **Destruction of Records Report (DORR) Criteria**

A Destruction of Records Report will be provided monthly to each court. The report will include cases in that court which meet the following criteria:

1. The case is a CLJ JIS case with an overall casetype of CV, SC, PR, IN, IT, CT, CN, PC, CF (This does not include Seattle Municipal Court Cases)
  - The case disposition date is at least three years in the past;
  - The last case update was at least 3 months in the past.
2. For each case, the report will indicate the following status:
  - The case met the selection criteria but is not being deleted from JIS now (reported)
  - The case was previously reported and is now being deleted from JIS (deleted)
  - The case met the selection criteria and has been deleted from JIS at the same time (both)
3. The following information will be included in the report
  - Defendant Name / Case Title - For non-civil cases the name of the defendant. For civil and small claims cases the case title is derived from the last name of the first plaintiff/petitioner/old participant vs the last name of the first defendant/respondent/new participant.
  - Case Number - The number assigned by the court to this case followed by the case type.
  - LEA - The code for the law enforcement agency that filed the citation or complaint. This field will be blank for Civil (CV) and Small Claims (SC) cases.
  - Case Type - The overall case type
  - Cause - The Cause Code recorded on the filing screen for Civil (CV) and Small Claims (SC) cases.
  - Filing Method – Electronic or Manual
  - Status - Reported, Deleted, or Both





WASHINGTON  
COURTS

# District and Municipal Court Judges' Association

**President**

JUDGE DAVID A. SVAREN  
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July 3, 2013

**President-Elect**

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Honorable Thomas J. Wynne  
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**Vice-President**

JUDGE DAVID STEINER  
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Dear Judge Wynne:

**Secretary/Treasurer**

JUDGE G. SCOTT MARINELLA  
Columbia County District Court  
535 Cameron St  
Dayton, WA 99328-1279  
(509) 382-4812

Thank you for the opportunity to comment on the proposed Data Dissemination Committee Policy which was distributed on June 6, 2013. The District and Municipal Court Judges' Association (DMCJA) Board of Governors and Technology Committee reviewed the retention schedule as a part of presentations given by the IT Governance #41 project team. Subsequently, the proposed policy was discussed informally at the DMCJA Spring Conference and this letter represents a compilation of comments and feedback collected during those times.

**Past President**

JUDGE SARA B. DERR  
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1100 W Mallon Avenue  
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## 1. Proposed Retention Schedule

Generally, it is agreed that the proposed retention schedule reflects a reasonable attempt to strike a balance between the needs of judges to have complete sentencing data and the impact that non-conviction data can have on a person's ability to gain employment, housing, and other opportunities. However, consulted members felt very strongly about one set of non-conviction data that should be kept for a longer period of time – domestic violence offenses.

**Board of Governors**

JUDGE SANDRA L. ALLEN  
Ruston/Milton Municipal Courts  
(253) 759-8545

JUDGE JOSEPH M. BURROWES  
Benton County District Court  
(509) 7535-8476

JUDGE JEFFREY J. JAHNS  
Kitsap County District Court  
(360) 337-7033

JUDGE MARY C. LOGAN  
Spokane Municipal Court  
(509) 622-4400

JUDGE SAMUEL MEYER  
Thurston County District Court  
(360) 786-5562

JUDGE KELLEY C. OLWELL  
Yakima Municipal Court  
(509) 575-3050

Domestic violence cases represent a unique type of crime and public safety challenge. As many legal practitioners know, these cases are often dismissed due to the inability to proceed on a case from the victim's lack of participation in the case. This reason for dismissal is often distinctly different from other cases that are dismissed by the prosecuting authority for lack of evidence. Also, these relationships can often be long-term and the cycle of violence can surface at different times within a long span of time. Access to non-conviction data for more than ten years in these cases is very valuable when making sentencing decisions and provides a more complete picture of criminal history related to these specific types of crimes.

JUDGE KEVIN G. RINGUS  
Fife Municipal Court  
(253) 922-6635

JUDGE REBECCA C. ROBERTSON  
Federal Way Municipal Court  
(253) 835-3000

COMMISSIONER PETE SMILEY  
Bellingham Municipal Court  
(360) 778-8150

There were also several practical scenarios under this retention schedule which could lead to inconsistent sentencing. Currently, prosecutors in courts of limited jurisdiction use non-statutory vehicles to defer and settle cases. The most common of these is the Stipulated Order of Continuance (SOC) where an offender stipulates to the facts and is given a set of conditions and terms to comply with for a period of

JUDGE HEIDI SMITH  
Okanogan County District Court  
(509) 422-7170

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time. At the end of the time, the criminal charge is ordinarily dismissed. With the proposed retention period, you very likely could have recurring offenders who have completed an SOC and then re-offends with the same partner or another partner outside of the ten year look-back window. Because there would be no record of the case, the judicial officer could see nothing in the history when, in fact, the person completed an SOC.

Another practical example under that scenario is when the victim then interviews or testifies about the previous incident but there is no record in the Judicial Information System (JIS) that the incident existed. Since the record is purged, and not archived, at the very least it would call the victim's credibility into question at the worst, it could destroy the record of existence of previous behavior with the victim.

The proposed retention schedule plans to never purge all civil anti-harassment, sexual protection and domestic violence protection orders. We would ask that you contemplate this for criminal domestic violence protection orders also. Assuming that these orders are not maintained in the Judicial Information System apart from the criminal case, we would ask that you never purge the domestic violence criminal case, or alternatively, keep the cases for at least 20 years.

Other comments on the retention schedule included the request to extend retention of non-conviction data for criminal traffic cases for a longer period of time as it lends to more complete sentencing information and its purging may exclude some people from chronic offender DUI courts where admission criteria includes charges without convictions.

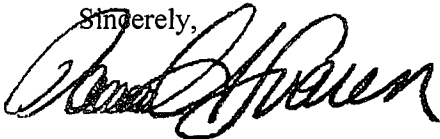
## **2. Impact of purging some data in the calculation of the Judicial Needs Estimate (JNE)**

Board members expressed their concern about purging cases that have case types with no dispositions after three years when the judicial needs estimate uses five years of data to make its calculations. Since this question was never answered, we include it here as feedback for the Committee to consider.

## **3. Concern regarding implementation of individual record retention**

*V. (D) A judge may order that a specific record shall not be purged. The court shall enter specific findings on the record supporting decisions is problematic and should not be adopted unless there is a corresponding policy or set of criteria that is the basis for retention. One of the initial purposes of this change was to not keep two sets of records and to eliminate archives. Instead of a system-based archiving system based on business rules, this provision creates a subjective ability to retain individual information that can have a disproportionate impact on individual's employment, housing, and other opportunities.*

Sincerely,



Judge David A. Svaren  
DMCJA Board President

cc: Justice Mary Fairhurst, JISC Chair  
Judge Veronica Alicea-Galvan, DMCJA President-Elect  
Judge James Heller, DMCJA Data Dissemination Committee  
Judge Steve Rosen, DMCJA Data Dissemination Committee  
Judge Kimberly Walden, DMCJA Technology Committee Chair  
Ms. Stephanie Happold, AOC (by e-mail)  
Ms. Shannon Hinchcliffe, AOC (by e-mail)

**From:** [mpresler@co.douglas.wa.us](mailto:mpresler@co.douglas.wa.us) [mailto:[mpresler@co.douglas.wa.us](mailto:mpresler@co.douglas.wa.us)]

**Sent:** Tuesday, June 25, 2013 10:50 AM

**To:** [Jan.Nutting@COURTS.WA.GOV](mailto:Jan.Nutting@COURTS.WA.GOV)

**Cc:** Lynne Campeau

**Subject:** RE: [DMADMIN] FW: GR 15 Draft Amendment and Extension of Comments Deadline for CLJ Retention of Records Amendment

Jan,

I have a comment about item D below.

- V. RETENTION OF COURT RECORDS BY COURTS OF LIMITED JURISDICTION\***
- A. Courts of Limited Jurisdiction in the State of Washington, utilizing or providing data to JIS, shall retain court records, as defined by GR 31, in accordance with this policy. Courts of Limited Jurisdiction:**
- 1. Are not required by law to maintain all court records in perpetuity.**
  - 2. Shall not archive electronic court records in the Judicial Information System.**
  - 3. The Judicial Information System shall destroy specified court records in accordance with the attached retention schedule.**
- B. Destruction of court records maintained in electronic form in the JIS system shall be automated based upon the attached retention schedule.**
- C. AOC ISD shall provide a monthly Destruction of Records Report to Limited Jurisdiction Courts. The Destruction of Records Report shall be utilized by Limited Jurisdiction Courts as a records management tool to assist in timely destruction of court records maintained in paper form as set forth in the attached retention schedule.**
- D. A judge may order that a specific record shall not be purged. The court shall enter specific findings on the record supporting its decision.**

Concerning item D above, I would like to request an addition of “A judge may order **or have in place a policy** that a specific record shall not be purged. The court shall enter specific findings on the record supporting its decision **or follow the policy as set forth and signed by the judge.**”

We currently have a policy in place that we archive imaged files for DUI, DV, No Contact Order Violations (cases that can in the future become the bases for a felony).

I didn't see an email for Stephanie Happold.

*Marcella Presler*  
Court Administrator

Douglas County District Court  
110 2nd ST. NE, Suite 100  
East Wenatchee, WA 98802  
[mpresler@co.douglas.wa.us](mailto:mpresler@co.douglas.wa.us)

**From:** [Christie Hedman](#)  
**To:** [Happold, Stephanie](#)  
**Subject:** RE: GR 15 Draft Amendment and Extension of Comments Deadline for CLJ Retention of Records Amendment  
**Date:** Wednesday, July 03, 2013 5:20:03 PM

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Hi, Stephanie – I am sorry to be writing late with comments regarding the CLJ Retention of Records Amendment, however, our email system has been out of commission since last Friday and only has become fully operational again today. I had planned to compile everything into one document, but due to the delay instead have included the comment below that reflects the overall **extremely strong concern that all “not guilty” and “not committed” cases should be kept in perpetuity to allow those not found guilty the same ability to prove their verdicts as someone who was found guilty:**

- I couldn't help but notice that JIS purges 'Not Guilty' and 'Not Committed' cases at 10 years but keeps convictions in perpetuity. In today's world of data mining and dissemination to credit reporting agencies, one wonders how a person would prove a "Not Guilty" verdict after 10 years if the issue came up. This may not be an issue in Superior Court where the CLERK has to keep a hard copy in perpetuity even if the JIS record goes away, but in courts of limited jurisdiction that is not the case. They purge their paper files a lot sooner than JIS purges them. In all courts, however, you would think that the number of Not Guilty and Dismissals and Not Committed findings would not amount to much in comparison to all those "Guilty" findings and incremental cost of keeping them would be insignificant.

I also am forwarding separately an impassioned email from Linda Callahan who was especially concerned about this aspect and the fact that defenders and their clients often are treated differently by the JIS system.

Please let me know if you have any questions and once again my apologies for getting these to you a day late!

Christie Hedman  
Executive Director  
Washington Defender Association  
206-623-4321  
[hedman@defensenet.org](mailto:hedman@defensenet.org)

---

**From:** Happold, Stephanie [mailto:Stephanie.Happold@courts.wa.gov]  
**Sent:** Friday, June 14, 2013 10:59 AM  
**To:** 'pamloginsky@waprosecutors.org'; 'pmason@mrsc.org'; 'teresa.mathis@wacdl.org'; Christie Hedman  
**Subject:** GR 15 Draft Amendment and Extension of Comments Deadline for CLJ Retention of Records Amendment

Good morning.

I have another posting for your listservs. I am combining two documents in hopes that I don't have to send you another email to clog your inbox.

I apologize for the annoyance. We were asked to move out our comments timeline for the CLJ retention schedule and I received a new deadline. Any questions, give me a call.

Regards,

**From:** Linda Callahan [<mailto:callahan@dui-defender.net>]  
**Sent:** Thursday, June 13, 2013 8:07 AM  
**To:** Christie Hedman  
**Subject:** Re: [WDA Misdemeanor] Updated JIS Data Dissemination Policy Amendment

Hi Christie,

I find this very disturbing. If they are going to keep "guilty" findings forever, why in the world would they purge a "not guilty" finding after 10 years?

Do I really even need to explain WHY this is disturbing? I cannot even conceive how a court administrator would even suggest this data be destroyed. What of the person who was acquitted but questions arise, perhaps from a faulty background check a decade later? If the courts do not maintain this data, this person has no way of proving they were vindicated. They could lose a job, be denied a loan, housing, or worse. Better to destroy conviction data than data that shows a person's innocence!

I suppose these administrators who making these rules are quite sure that THEY would never be wrongly accused of a crime so they have no empathy for such persons. Have they no clue that this happens to people routinely in our state? I almost wish it upon them, so great is my ire at this plan they have to destroy data that protects the individual.

Whatever happened to unbiased, neutral courts who do not take sides? Was that just a dream I had in law school? Because this is blatantly siding with the State and leaves the innocent citizen with no recourse and no way to prove they were found not guilty.

This may not be the place/time, but I have another issue with the JIS people--they will allow prosecutors and PD agencies to have access to DCH records. They will not allow me to have that access. Why not? I have to rely on client's sketchy recollections of what priors they might have, even though this one factor is HUGE in determining how I will defend the person, particularly in DUI cases.

Why am I not as trustworthy as a prosecutor or PD organization to have access to this data? The prosecutors will sometimes give it to me, but their cooperation varies count by county. JIS does not treat both sides fairly. Because my practice is on the defense side am I less trustworthy of a human being? Am I a second-class lawyer because I defend people? This is how JIS makes me feel. Just because I defend people, I cannot be trusted. Whereas, if I represented the State, I can get whatever I need. Sounds like a police state to me. This irks me when I sign over that check to AOC every month.

I have very strong feelings about this, obviously. Please feel free to forward these comments directly to the people who would be so negligent toward their public duty as to EVEN SUGGEST we remove acquittal data from our court's database, EVER. I welcome their response as well, and if I have misunderstood what I read, I do apologize. I actually hope that is the case.

Linda Callahan

A West Thomson-Reuters Author



Linda M. Callahan | Attorney at Law

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**Author of the Washington DUI Practice Manual**



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Judicial Information System Committee Meeting

July 19, 2013

**DECISION POINT – Access to Justice Technology Principles Report to the Supreme Court**

**MOTION:**

I move to approve the 2013 Access to Justice Technology Principles Report to the Supreme Court.

**I. BACKGROUND**

The Access to Justice Board developed the Access to Justice (ATJ) Technology Principles to ensure that technology increases opportunities and eliminates barriers to access to the justice system. The Washington State Supreme Court adopted the ATJ Technology Principles in 2004 in an order that also ordered the Administrative Office of the Courts (AOC), in conjunction with the Access to Justice Board and the Judicial Information System Committee (JISC) to report annually to the Supreme Court on the use of the principles in the court system and by all other persons, agencies, and bodies under the authority of the Supreme Court.

The purpose of the report is to document the efforts of the Administrative Office of the Courts and the Access to Justice Board to implement and use technologies within Washington State's justice system in a manner that furthers the goals of the ATJ Technology Principles. ATJ Board members, ATJ Technology Committee members, ATJ staff, and AOC staff contributed to the report.

**II. DISCUSSION**

The 2013 ATJ Technology Principles report was prepared by AOC in collaboration with the Access to Justice Board Technology Committee. On June 6, the ATJ Board approved the report. The report requires JISC approval before it is submitted to the Supreme Court.



## Administrative Office of the Courts

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# *2013 Access to Justice Technology Principles Report to the Supreme Court*

*June 30, 2013*

### **AOC Mission:**

*“To advance the efficient and effective operation of the Washington judicial system.”*

### **ATJ Board Mission:**

*“Recognizing that access to the civil justice system is a fundamental right, the Access to Justice Board works to achieve equal access for those facing economic and other significant barriers”*

**Administrative Office of the Courts  
State of Washington  
1206 Quince St. SE  
P.O. Box 41170  
Olympia, WA 98504-1170**





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## Introduction

For more than 50 years, the Administrative Office of the Courts (AOC) has embraced the mission to “advance the efficient and effective operation of the Washington judicial system” through a variety of programs, initiatives, and functions that serve our court system.

The Washington judicial system believes in and is committed to its duty to protect individual rights, be accountable to the Constitution, defend against political interference, and to serve our citizens through equal, fair and impartial access to justice. The AOC provides services that support justice in individual cases and more broadly, serves to maintain an effective court system in Washington.

The Washington State Access to Justice (ATJ) Board was established as a permanent body by Washington Supreme Court Order in 1994. Through its justice system partners and standing committees, it works to achieve equal and meaningful access to and usability of the civil justice system for those facing economic and other significant barriers.

In recent years, the use of information technology (IT) has become increasingly important in the Judicial Branch as today’s courts remain committed to greater efficiency and effectiveness despite increasing caseloads and shrinking budgets. In 2001, the ATJ Board recognized that developments in information and communication technologies, including the Internet, pose significant challenges to full and equal access to the justice system, that technology can provide increased pathways for quality access, but it can also perpetuate and exacerbate existing barriers and create significant new barriers.

The ATJ Board developed the Access to Justice Technology Principles to promote and assure that technology enhances rather than diminishes access to and the quality of justice for all persons in Washington State. Comments of the Access to Justice Board committee drafters accompanying the Principles make clear the intent that the Principles are to be used so as to be practical and effective for both the workers in and users of the justice system, enhance the quality of decisions made by judges and other decision makers, and that the Principles do not create or constitute the basis for new causes of action or unfunded mandates.

The Washington State Supreme Court adopted the ATJ Principles by its order dated December 3, 2004. In adopting the Access to Justice Technology Principles, the Supreme Court also ordered:

(c) The Administrative Office of the Courts (AOC) in conjunction with the Access to Justice Board and the Judicial Information System (JIS) Committee shall report annually to the Supreme Court on the use of the Access to Justice Technology Principles in the Washington State court system and by all other persons, agencies, and bodies under the authority of this Court.

This report has been prepared in accordance and compliance with the above order.

## Purpose

The purpose of this report is to document the efforts of the Administrative Office of the Courts and the Access to Justice Board to implement and use technologies within Washington State's justice system in a manner that furthers the goals of the ATJ Technology Principles. ATJ Board Members, ATJ Technology Committee members, ATJ staff, and staff at AOC contributed to this report.

The Preamble to the ATJ Technology Principles describes their purpose: "The use of technologies in the Washington State justice system must protect and advance the fundamental right of equal access to justice. There is a particular need to avoid creating or increasing barriers to access and to reduce or remove existing barriers for those who are or may be excluded or underserved, including those not represented by counsel."

There are six principles, summarized as follows:

1. **Requirement of Access to Justice:** Use of technology must promote, and not reduce, equal access.
2. **Technology and Just Results:** The justice system must use technology to achieve the objective of a just result achieved through a just process and reject, minimize, or modify any use that impairs achieving it.
3. **Openness and Privacy:** Technology in the justice system should be designed and used to meet the dual responsibilities of being open to the public and protecting personal privacy.
4. **Assuring a Neutral Forum:** The justice system must ensure the existence of neutral, accessible and transparent forums which are compatible with new technologies, and discourage and reduce the demand for the use of those which are not.
5. **Maximizing Public Awareness and Use:** The justice system should promote public knowledge and understanding of the tools afforded by technology to access justice.
6. **Best Practices:** Those governed by the ATJ Tech Principles must use 'best practices to guide their use of technology so as to protect and enhance equal access to justice and fairness, including evaluation of the use of technology in doing so.

The full text of the Principles and their associated Comments may be found at [www.courts.wa.gov](http://www.courts.wa.gov) and [www.atjweb.org](http://www.atjweb.org).

This report is presented under the following sections:

- AOC Processes supporting ATJ Tech Principles
- AOC Initiatives Supporting the ATJ Board Mission and ATJ Tech Principles
- ATJ Board and Committee Efforts Underway in Washington State
- ATJ Tech Principles Impact Outside Washington State
- Conclusion

## AOC Processes Supporting ATJ Tech Principles

AOC has implemented several processes and broad initiatives that advance the ATJ Tech Principles in all its projects and initiatives. These processes guide all projects to ensure that the ATJ Tech Principles are adhered to and to ensure that appropriate opportunities are identified within the projects to implement the Principles. The following are three such initiatives:

### 1. IT Governance

The AOC has implemented an Information Technology (IT) Governance process.

The goal of the process is to:

Initiate, analyze, and prioritize IT projects to benefit the court community and the justice system in the state so that they will be more efficient and more effective in delivering equal high quality justice for all.

The Access to Justice Technology Principles are among the key items considered and used when evaluating each project for its impact on courts and other stakeholders.

The process has been designed to ensure that maximum transparency to all interested parties is maintained throughout the consideration of each project. The IT Governance process has developed a Public IT Governance Portal that is publicly accessible so that all projects under consideration can be reviewed by any interested party.

Just as important, the IT Governance process automatically notifies more than 40 associations, agencies, boards, and commissions when projects reach a key stage in the consideration process so they are prompted to provide input as each project reaches critical stages in the prioritization process. This includes the Washington State Bar Association, the Access to Justice Board, the Minority and Justice Commission, The Gender and Justice Commission, the Northwest Justice Project, Columbia Legal Services, and the American Civil Liberties Union, along with many others.

This process supports all of the Access to Justice Technology Principles.

### 2. Enterprise Architecture

AOC has implemented Enterprise Architecture (EA) principles which use the Access to Justice Technology principles as the higher order principles.

The goals of the Enterprise Architecture Management processes are to:

Promote solutions that ensure the use of technology to maximize access to justice. The AOC emphasizes the selection of solutions through the Judicial Information Systems that promote and facilitate access to understandable and useful judicial information and services to the public at little or no cost, certainly affordable for all, and

Use technologies that can easily be accessed, understood, and used by persons without extensive technological ability and, where possible, by persons with disabilities. Through the established solutions analysis and architecture review processes, all solutions are reviewed for their suitability and impact on all stakeholders based on the Access to Justice Technology Principles.

The AOC has also developed and/or adopted several technology standards such as the National Information Exchange Model (NIEM) that ensure that justice data can be shared and accessed by all authorized justice partners and the public.

The Enterprise Architecture processes serve all Access to Justice Technology Principles and ensure their implementation in the various projects and initiatives at AOC.

### **3. Data Quality and Governance Initiative**

The AOC is implementing a data quality and governance initiative. Data quality and governance will ensure the quality and usability of data by monitoring it for completeness, timeliness, and accuracy.

The goals of the initiative include:

Establishing processes to investigate and resolve data quality issues, by identifying quality improvements through a governance process and by maintaining business and usage rules.

Making more reliable data available for all users of JIS systems and data. Future direction includes the establishment of a Data Governance framework, securing and implementing a Data Quality Tool, and outreach with the courts and other stakeholders to ensure the data quality needs of all parties are addressed within this initiative.

The data quality and governance initiative serves all Access to Justice Technology Principles.

### **4. Data Dissemination**

The Judicial Information System Committee (JISC) created the Data Dissemination Committee to address issues with respect to access to the Judicial Information System and the dissemination of information from it.

The goals of the Data Dissemination Committee are to:

Act on requests for access to the Judicial Information System (JIS) by non-court users, and

Recommend to the JISC changes in policy, statute, and court rule regarding court record access.

The committee carries out its duties in the context of Article I, Section 7 of the Constitution of the State of Washington, which requires that “Justice in all cases shall be administered openly, and without unnecessary delay” as well as the privacy protections of Article I, section 7. It is also governed by GR 31(a) “it is the policy of the courts to facilitate access to court records as provided by Article I, Section 10 of the Washington State Constitution. The governmental duty to provide and enhance public and personal safety is also a key consideration and guide.

The work of the Data Dissemination Committee serves Access to Justice Principle 3: Openness and Privacy.

## AOC Initiatives Supporting the ATJ Principles

There are several projects and initiatives at AOC that support and further the ATJ Technology principles. This section describes efforts that have been completed in the last year or are currently underway at AOC.

### 1. Pro Se Plan Elements

AOC is an active partner in the efforts of the ATJ Board through its Pro Se Project to convert all the Domestic Relations pattern forms to plain language.

The goal of the initiative is to:

Create simple, clear, user-friendly forms written in easy-to-understand “plain language” and presented in an intuitive easy-to-navigate format. With plain language forms, users understand the content more quickly, don’t need to spend time asking for explanations, make fewer errors completing the forms, and when finished, feel that the process was fair and manageable. In turn, court personnel benefit as they answer fewer phone calls, write fewer explanatory letters or e-mails, and help more people in a way that is more useful. Good forms educate litigants about the law and help them better present their cases, better inform other parties of claims and issues, give the court good information on which to base their decisions, and lead to decisions and orders that are more specific, thus easier to comply with and to enforce.

A large number of people, including AOC staff and Washington Pattern Forms Committee members, are participating in the development of the plain language forms. The project timeline anticipates that the forms will be completed by January 1, 2014, and become mandatory domestic relations pattern forms on March 1, 2014, unless that date is extended July 1, 2014, to accommodate 2014 legislative changes.

The Plain Language Forms initiative aligns with the Preamble of the ATJ Technology Principles in that, among other things the plain language forms will help persons to assert a claim or defense and to create, enforce, modify, or discharge a legal obligation.

The Initiative also aligns with the Principles’ requirement of enhancing Access to Justice in that the plain language forms use updated Microsoft Word features and page layout



concepts that assist persons in navigating through the forms. These advance access and participation by making the forms easier to use and more effective.

Technology and Just Results: The language in the plain language forms assists persons in understanding what kind of information they need to provide. If persons present clearer and more relevant information, judicial officers will have a better understanding of the issues and are better able to make well-informed decisions.

## **2. Online Document Assembly Capability, part of Phase 1 of the Pro Se Plan:**

The goal of online document assembly program is:

Along with plain language content and format, it is preferable that the online forms eventually be “interactive” which means that the user is “interviewed” and in fact coached in plain understandable language on necessary information in a logical format that assembles the document along the way. This interactive form technology walks the user through the process by using a graphical interface to assist in understanding and using legal terms. Users are able to preserve their information which will automatically populate the next form if the same information is called for. This interactive format could significantly benefit self-represented litigants through understandability, ease of usage and time savings.

The Online Document Assembly program aligns with the ATJ Technology Principles of Requirement of Access to Justice in that online forms will be accessible from home, libraries, kiosks, community centers, and many other convenient places with internet access. An online program would help people fill out the forms. The online forms would advance access and participation by making it easier for persons to fill out the forms, provide necessary information to the courts, and enable quicker, better and more affordable court services.

## **3. Fillable PDF Forms:**

AOC is currently updating fillable PDF versions of the mandatory Domestic Relations pattern forms. Fillable PDFs of approximately one-third of the mandatory Domestic Relations forms are ready to post on the courts' web site.

The goal of the fillable PDF initiative is to:

Improve access for sight-impaired persons with visual and associated disabilities using screen readers which read the fillable PDF forms; make it easier for persons to fill out forms, without needing to know how to use Microsoft Word, and; ensure completed forms are legible and properly formatted when filed.

The fillable PDF project aligns with the ATJ Technology Principle of Requirement of Access to Justice in that use of the fillable PDF form increases access to justice by making the forms more accessible to persons with visual and associated disabilities by making the forms easier for all persons to fill out.

#### 4. Interpreter Profile System

The AOC implemented the Interpreter Profile System (IPS) web site. The IPS was recognized by the Consortium for Language Access in Courts with the award for the “Use of Technology and Software” to eliminate language barriers.

The goal of the system is to:

Automate and streamline a paper-based system for tracking interpreters’ languages, contact information, work areas, certification and continuing education. The IPS allows interpreters to update their own information online which provides more accurate and up-to-date information on interpreters available online.

The IPS web site serves the following Access to Justice Technology Principles:

Principle 1: Requirement of Access to Justice,  
Principle 4: Assuring a Neutral Forum and  
Principle 6: Best Practices.

#### 5. Information Networking Hub

The AOC has undertaken an information exchange initiative called the Information Networking Hub (INH) project. In addition, a separate project is also underway to support data exchanges for superior courts (SCDX).

The goals of the projects are to:

Establish the necessary infrastructure, as well as web services, to enable standardized sharing of information among justice partners and public. The INH project also plans to implement a data quality program to ensure that the quality of personal records meets the highest standards ensuring public safety and preventing issues relative to persons’ criminal history and other background information, and

Create a uniform set of standards for entering, storing, and sharing data within the Judicial Information System. The intended benefit is primarily assurance of statewide use of quality standards, increased efficiency and accessibility through consistency, reduction of duplicative data entry, and enhanced access for justice information.

The INH and SCDX project serves the following Access to Justice Principles:

Principle 1: Requirement of Access to Justice and  
Principle 2: Technology and Just Results.

## **6. Superior Court Case Management System (SC-CMS)**

AOC is currently working on providing a new case management system for Superior Courts.

The goal of the project is:

To replace the current system supporting the superior courts (SCOMIS) and provide several new functions and capabilities that are needed by the Superior Courts.

The project is currently in contract negotiation stage. The SC-CMS project has a planned completion date of Dec. 2017.

In addition to the project team, AOC teams supporting the Court Business Office (CBO) and Enterprise Architecture continuously review the future state business processes for Superior Courts as well the technology to ensure that it meets the ATJ Technology Principles. In addition, the ATJ Technology Committee has a representative on the SC-CMS Court Users Work Group (CUWG).

The SC-CMS project will incorporate all six ATJ Principles.

## **7. Appellate Courts Enterprise Content Management System (AC-ECMS)**

AOC is currently working on providing a new case management system for Appellate Courts.

The goal of this project is:

AC-ECMS seeks to improve access to the Washington Appellate Court Record and Data System (ACORDS) by providing a standard interface for all appellate courts to use. AC-ECMS is also intended to provide a web interface for the public, and support electronic filing of court documents.

The project is currently in the Request for Proposal (RFP) Evaluation stage.

The AC-ECMS project will incorporate all the six ATJ Technology Principles.

## **8. Adult Static Risk Assessment**

The AOC implemented the Adult Static Risk Assessment (ASRA) application in May of 2012. The application was developed by AOC. The ASRA application is based on the static risk assessment portion of the Static Risk and Offender Needs Guide (STRONG) instrument created by Dr. Robert Barnoski and validated by the Washington State Institute for Public Policy.

The goal of the application is to:

Provide an indicator of a defendant's risk to re-offend and an easily accessible criminal history summary. This indicator provides additional objectivity into the court's pre-trial release and sentencing decision process. The risk assessment provides an easily accessible summary of criminal history for the judicial officer, prosecutors, and defense counsel. This information can be helpful to the court to determine appropriate conditions for the offender pending trial/plea and

sentencing. The risk assessment may be conducted pre-sentence, prior to the first appearance (if the person is in custody), or prior to the arraignment (if the person is summoned to appear). Because the risk assessment portion is based entirely on Washington State and Non-Washington State criminal conviction history and other static information, it can be completed without contact with the offender.

The ASRA application serves Access to Justice Tech Principle 2: Technology and Just Results by providing additional objective data for judicial officers making bail, sentencing and other dispositive decisions.

## ATJ Board Efforts Underway in Washington State

In addition to efforts previously described in this report, and among many other ongoing initiatives, some current efforts of the ATJ Board that further the ATJ Technology Principles include the following:

### 1. Promising Practices Project

ATJ Board completed the Promising Practices Project that is focused on developing the criteria that custom-developed applications must meet to comply with the Technology Principles. This project was originally intended to focus on delivering a set of online applications for use by the access to justice community. However, because of the availability of the commercial off-the-shelf (COTS) applications that can easily be configured and the relative ease with which organizations can procure these applications, the ATJ Board restructured the project. The project was funded by a grant approved by the State Justice Institute and the Attorney General's Office. The practice guides are available on the ATJ website.

### 2. Best Practices Development

A second effort is that in November 2012, the American Bar Association approved a grant of \$20,000 to the ATJ Board, to be used for efforts to ensure that electronic court records systems adopted by the counties of Washington State are developed, adopted and serviced in a manner enhancing the public's access to such records. The ATJ Board has recently retained an expert consultant to assist the ATJ Technology committee and the ATJ Board in developing and issuing a set of Best Practices, to be a resource for any county judiciary and associated system and stakeholders seeking to institute and implement an electronic court records system.

### 3. Website Improvements

[www.ATJWeb.org](http://www.ATJWeb.org), the ATJ Board's independent website that details access to justice issues in Washington State and nationally, has been overhauled aesthetically to promote accessibility to the site and to provide news, information, and resources regarding access to justice initiatives. The site now includes commentary on current events as well as the text of the ATJ Technology Principles in multiple languages.

#### **4. Collaboration with the Bar and the Courts on Statewide Civil Rules on Discovery of Electronically Stored Information**

A few years ago it became apparent to many in the bar and the courts that the Civil Rules of Procedure relative to discovery needed updating because of the many documents and other information that were increasingly being stored electronically. For the past three years, the ATJ Board and its Technology Committee have worked in collaboration with the Rules Committee of the Washington State Bar Association to develop workable and fair discovery rules in civil cases, particularly relative to electronically stored information. The first rule addressed was CR 34, which recently concluded its time on the Supreme Court Rules Committee's comments calendar. The Board is optimistic the changes will be adopted by the Court.

The ATJ Board and its Technology Committee are continuing the collaboration on revisions to CR 26 with the goal of developing a well-balanced, effective rule that best serves the persons who work in and are served by the Washington State justice system.

#### **5. Representation on Key Judicial System Bodies**

After years of the ATJ Board having a liaison to the JISC, in 2012 an ATJ Board representative was appointed to the WSBA position as a voting member of the JISC. The ATJ Board also added a liaison to the Data Dissemination Subcommittee of the JISC. In addition, the committee has a representative on the Court User Work Group (CUWG) for SC-CMS project. These are important steps forward and represent not only the implementation but indeed the institutionalization of the Access to Justice Technology Principles in the State of Washington and its justice system.

## **ATJ Principles Impact Outside Washington State**

The Tennessee Access to Justice Commission Technology Principles, adopted this year, are largely derived from the state of Washington's ATJ Technology Principles. The ATJ Technology Committee has reviewed the Tennessee Principles; although they bind only the Tennessee Access to Justice Commission, their language tracks the Washington Principles, and the Committee is optimistic that they will influence Tennessee's justice system for the better.

## **Conclusion**

AOC and the ATJ Board continue to make progress in implementing and hopefully institutionalizing the ATJ Technology Principles. At the same time, the ATJ Board believes that implementation and institutionalization of the ATJ Technology Principles requires active vigilance and effort by and for judicial systems and their stakeholders and participants across the state. It is not enough to promulgate rules and regulations; entities throughout the Washington State justice system must be made aware of the ATJ Tech Principles and the rules and other means to accomplish their intent and purpose, persuaded to support them, and assisted in implementing them. Doing so will make increasingly real our common goal of providing equal, high quality and meaningful justice every day for all persons in Washington State.



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

Maribeth Sapinoso, Project Manager

July 19, 2013



# SC-CMS Project Status

CONTRACT NEGOTIATION ACTIVITIES	DATE
✓ Primary Negotiations Team begins contract negotiations with Tyler	April 23, 2013
✓ Subject Matter Experts meets with Tyler regarding Business Requirements	May 9-10, 2013
✓ Technical Team meets with Tyler regarding Technical Requirements	May 14, 2013
✓ Technical Team meets with Tyler regarding Hardware Specifications	June 6, 2013
✓ Primary Negotiations Team ends contract negotiations with Tyler	July 3, 2013
✓ Project Steering Committee meets to review contract	July 9, 2013
• Project Steering Committee makes final recommendation to JISC to Execute Contract	July 19, 2013

# SC-CMS Project Status

(Continued)

## Project Update:

- Presented Project Update at SCJA/AWSCA Annual Conference, April 30, 2013
- CUWG Meetings:
  - ✓ May 8-9, 2013
  - ✓ June 12-13, 2013
  - ✓ July 10-11, 2013
- Court Site Visit: Benton/Franklin and Walla Walla – June 24-26, 2013



## Active Project Risks

Total Project Risks			
Low Exposure	Medium Exposure	High Exposure	Closed
0	0	1	0

## Significant Risks Status

Risk	Probability/Impact	Mitigation
Legislative funding for the SC-CMS	Medium/High	The Courts, the County Clerks, AOC, and the JISC are taking an active role in engaging the legislature to support the SC-CMS project.



# Phase 1 - Acquisition

MILESTONE	DATE
✓ JISC Approval to Release RFP / RFP Published	June 2012
✓ Vendor Proposals Due	August 2012
✓ Evaluate & Score Written Responses	September 2012
✓ Steering Committee Confirms Top Ranked Vendors for Demos	September 2012
✓ Complete Vendor Demos	October 2012
✓ Steering Committee Confirms Top Ranked Vendors for Onsite Visits	October 2012
✓ Complete Onsite Visits	December 2012
✓ Notify Apparent Successful Vendor	January 2013
✓ Steering Committee Makes Recommendation to JISC	March 2013
Complete Contract Negotiations	July 2013
JISC Approval to Execute Contract	July 2013
Phase 1 Complete	August 2013

# SC-CMS Project Next Steps

- Project Steering Committee Recommends to the JISC Whether to Approve the Final Terms of the Contract
- JISC Decides Whether to Approve Project Steering Committee's Recommendation
- Pilot Court Selection Commences
- Draft Project Steering Committee Charter for Implementation Phase



# Decision Point

Judicial Information System Committee Special Meeting, July 19, 2013

**DECISION POINT – Superior Court Case Management System – Tyler Technologies, Inc. Contract Execution**

**MOTION:**

- I move that the JISC approve the SC-CMS RFP Steering Committee’s recommendation for the Administrative Office of the Courts (AOC) to proceed with executing the contract negotiated with Tyler Technologies, Inc. to secure a statewide case management system for Superior Courts and County Clerks, with the understanding that the SC-CMS Project covers local court planning and implementation costs.

**I. BACKGROUND**

The Superior Court Case Management System (SC-CMS) Project is intended to provide the superior courts and county clerks with a software application that would meet the business needs of all 39 counties in the state for calendaring and case-flow management functions, along with participant/party information tracking, case records and relevant disposition services functions, in support of judicial decision making, scheduling and case management.

In a motion approved on September 9, 2011, the Judicial Information System Committee (JISC) accepted the recommendation from the Feasibility Study and authorized the development of a Request for Proposal (RFP) to obtain a new superior court case management system Commercial Off the Shelf (COTS) solution on the condition that it meet the business requirements of superior courts in all 39 Washington counties. In December 2011, after multiple on-site court visits by AOC and six full-day sessions with stakeholders, the JISC received a signed letter from each of the association presidents affirming that the documented business requirements met the needs of all the superior courts in Washington State. The RFP to acquire a new COTS case management system for the superior courts was developed in 2012.

In a motion approved on June 22, 2012, the JISC authorized the Administrative Office of the Courts (AOC) to release the SC-CMS Request for Proposal (RFP) that would “implement the recommendation of MTG Management Consultants in the Superior Court Case Management Feasibility Study Report, Version 1.3., that AOC acquire, implement, and centrally host a statewide, full-featured, commercial case management system for superior courts.”

On January 29, 2013 the SC-CMS RFP Steering Committee announced Tyler Technologies, Inc. as the Apparent Successful Vendor (ASV). Following this announcement, various stakeholders met with the ASV for approximately three days to clarify functionality concerns and questions that needed to be addressed before the SC-CMS RFP Steering Committee could make a final recommendation on whether or not to proceed with contract negotiations.

In a motion approved at a special JISC meeting on March 22, 2013, the JISC authorized the AOC, based on the recommendation of the SC-CMS RFP Steering Committee, to initiate contract negotiations with the Apparent Successful Vendor, Tyler Technologies, Inc.

Beginning March 25, 2013 through July 3, 2013 intense contract negotiations were conducted covering key areas of the contract such as terms and conditions, remedies, support and maintenance, staffing levels, payment plan, work plan, and statement of work. Subject Matter Experts from the Courts, County Clerks, and the AOC were instrumental in reviewing the business and technical requirements of the RFP with Tyler.

On July 9, 2013 the SC-CMS RFP Steering Committee voted unanimously to recommend to the JISC that the AOC proceed in executing the contract negotiated with Tyler Technologies, Inc.

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## II. DISCUSSION

On March 2, 2012, the JISC approved two motions related to local court funding for the implementation of the new SC-CMS:

The JISC accepted the first motion which recommended that the JISC include funding for Local Court implementation as part of the SC-CMS costs – as a concept without specifics.

The JISC accepted the second motion which recommended that a specific dollar amount (to be determined at a later date by the JISC) for funding local planning and implementation costs in the budget allocations for the SC-CMS project.

The initial cost estimate was not completed and may be higher than the \$1.9 million projected in the Feasibility Study. More detailed analysis and work is required in order to know the full cost.

This is an important issue needing to be addressed, since funding to implement the system may not be available at the local level.

At the conclusion of contract negotiations on July 3, 2013, the Project Steering Committee's request to include the following out of scope items are now included as part of the contract for statewide implementation:

- Odyssey Financial Manager
- Odyssey Document Management
- SessionWorks Judge Edition
- Electronic Filing

These additional functionalities are within Tyler's original bid.

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### **SC-CMS Steering Committee Recommendation**

- The SC-CMS RFP Steering Committee recommends to the Judicial Information System Committee that the Administrative Office of the Courts (AOC) proceed with executing the contract negotiated with Tyler Technologies, Inc. to secure a statewide case management system for Superior Courts and County Clerks, with the understanding that the SC-CMS Project covers local court planning and implementation costs.
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### **OUTCOME IF NOT PASSED –**

If this motion is not passed, the Courts and County Clerks of the Superior Courts will be left without a case management system available statewide.

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## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
<p>1. Unused enhancement and configuration hours</p>	<p><b>Desired Outcome #1:</b> During the Vendor Clarification meetings some items that were identified as requiring customization by the vendor actually meet the requirements of Washington as is or through configuration.</p> <p>One option may be to take the hours in the Vendor’s proposal for these requirements and establish a pool of hours. It should also be documented in the contract that these hours could be utilized to address the “Optional Extensions to Functional Scope” (RFP Section 6.5). In addition it is expected that payment for the use of these hours will be made on a deliverable basis when the Extensions are incorporated into the scope.</p> <p><b>Desired Outcome #2:</b></p> <p>The proviso that all images would be stored locally by the County Clerk although copies of some images would be available for state-wide viewing.</p> <p>Deliverable examples that may be included:</p> <ul style="list-style-type: none"> <li>• Requirements Gap analysis</li> <li>• Configuration and Validation</li> <li>• Development and testing results</li> <li>• Training materials and activities if required</li> <li>• Conversion activities if required</li> </ul>	<p>Out of Scope Items– at a minimum, lock in at \$164/hr. or less for future pricing prioritized as follows:</p> <p>1 – Manage Finances                  2 – Document Management                  3 – SessionWorks Courtroom Processing: SessionWorks: Judges Edition                  4 – Electronic Filing                  5 – Attorney Manager</p>	<p><b>Result of Desired Outcome #1: Pool of Hours</b></p> <p>Based on the requirements analysis conducted May 9 and 10, 2013 with the SMEs, approximately 500-800 hours could be reduced or shifted. It should be noted that while the number of hours of customizations could be cut based on some of the discussion, there was an equal amount of discussion that could potentially increase the number of hours of customization. This analysis should only be considered as preliminary until completing the entire fit analysis (as described in the Statement of Work) where the hours be adjusted accordingly.</p> <p><b>Result of Desired Outcome #2: Local Storage of Document Images</b></p> <p>Tyler offers an option to store document images locally by the Court or County Clerk’s Office and would also be stored centrally for the purpose of backup and recovery only.</p> <p><b>Result of Out of Scope Items:</b></p> <ul style="list-style-type: none"> <li>• Hourly Rate for services is set at \$164.00 for the services in the Statement of Work.</li> </ul> <p><b>Section 6. Proprietary Software</b></p> <p>The following list represents the Proprietary Software included in the Contract.</p> <ul style="list-style-type: none"> <li>• <b>Odyssey Case Manager</b></li> <li>• <b>Odyssey Financial Manager</b></li> <li>• <b>Odyssey Document Management</b> <ul style="list-style-type: none"> <li>○ <b>Enterprise Document Management System</b></li> <li>○ <b>Batch/Scanning Workflow</b></li> <li>○ <b>Auto Attach</b></li> <li>○ <b>Record on Appeal Creator</b></li> <li>○ <b>eSignatures</b></li> <li>○ <b>Citation Auto Zoom</b></li> </ul> </li> <li>• <b>Remote Document Management</b> <ul style="list-style-type: none"> <li>○ <b>Server License</b></li> <li>○ <b>20 Local Stores</b></li> </ul> </li> <li>• <b>SessionWorks Clerk Edition</b></li> <li>• <b>SessionWorks Judge Edition</b></li> <li>• <b>Enterprise Custom Reporting</b></li> <li>• <b>Session Sync</b></li> <li>• <b>Integration Toolkit – Case Manager Libraries</b></li> </ul>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME																																				
			<ul style="list-style-type: none"> <li>• Odyssey Supervision – Pretrial and Specialty Courts</li> <li>• All Public Access</li> </ul> <p><b>Appendix A, Section 8: Optional Software Electronic Filing</b></p>																																				
2. Payment for Product Licensing	<p><b>Desired Outcome #1:</b> Establish a payment plan that matches the available funds and establishes a deliverables based (delivered by vendor and accepted by the project) payment method for the \$4,621,042.00 software license.</p>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">FY 2013</td> <td style="width: 10%; text-align: center;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> </tr> <tr> <td>FY 2014</td> <td></td> <td></td> <td style="text-align: center;">5%</td> <td></td> <td></td> </tr> <tr> <td>FY 2015</td> <td style="text-align: center;"></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>FY 2016</td> <td></td> <td></td> <td style="text-align: center;">60%</td> <td></td> <td></td> </tr> <tr> <td>FY 2017</td> <td style="text-align: center;"></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>FY 2018</td> <td></td> <td></td> <td style="text-align: center;">35%</td> <td></td> <td></td> </tr> </table> <p>Tie to deliverables based on fiscal cycle.</p>	FY 2013						FY 2014			5%			FY 2015						FY 2016			60%			FY 2017						FY 2018			35%			<p><b>Result of Desired Outcome #1: Payment Plan</b></p> <p>Outcome met. Ramsey Radwan will provide details.</p>
FY 2013																																							
FY 2014			5%																																				
FY 2015																																							
FY 2016			60%																																				
FY 2017																																							
FY 2018			35%																																				
3. Remedies	<p><b>Desired Outcome #1:</b> Liquidated damages are outlined in Appendix C of the Draft Contract, and identify the performance standards set forth in the RFP.</p> <p>They cover:</p> <ul style="list-style-type: none"> <li>• Critical events</li> <li>• System Maintenance Help Desk</li> <li>• Emergency Call Response</li> <li>• Monitoring Reports</li> <li>• Database Availability</li> <li>• System Availability</li> <li>• System Performance Response Time</li> <li>• System Performance Reports</li> <li>• System Turnover</li> <li>• System Turnover Documentation</li> <li>• System Documentation</li> </ul> <p><b>Desired Outcome #2:</b> Holdback is</p>	<p>Deliverable Timeliness Defect Tracking Defect Turnaround Testing Helpdesk Service Level Agreement (SLA) Holdback</p>	<p><b>Result of Desired Outcome #1: Liquidated Damages</b></p> <p>17.1 The parties agree that any delay or failure by Contractor to timely perform its obligations by the dates in the Work Plan will interfere with the proper and timely Implementation of the System and Services, to the loss and damage of AOC. Further, AOC will incur major costs to maintain the functions that would have otherwise been performed by Contractor. The parties understand and agree that the following Sections describe the liquidated damages Contractor shall pay to AOC as a result of nonperformance hereunder by Contractor.</p> <p>17.2 The parties acknowledge and agree that Contractor could incur liquidated damages for more than one Critical Event if Contractor fails to timely perform its obligations by each date and to the extent such delay is the result of the actions, inactions or omissions of Contractor. Damages which may be assessed hereunder are detailed in APPENDIX C.</p> <p>17.3 The assessment of liquidated damages shall not constitute a waiver or release of any other remedy AOC may have under this Contract for Contractor’s breach of this Contract, including without limitation, AOC’s right to terminate this Contract, and AOC shall be entitled in its discretion to recover actual damages caused by Contractor’s failure to</p>																																				



## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
	<p>documented in the Draft Contract, Section 17.5. Payment of holdback dollars are described in Appendix A, section 1.2 of Draft Contract.</p> <p><b>Desired Outcome #3:</b> Deliverable Timeliness outcomes are documented in the Draft Contract, Section 7.</p>		<p>perform its obligations under this Contract. However, AOC will reduce such actual damages by the amounts of liquidated damages received for the same events causing the actual damages.</p> <p>17.4 Amounts due AOC as liquidated damages may be deducted by AOC from any money payable to Contractor under this Contract, or AOC may bill Contractor as a separate item therefore and Contractor shall promptly make payments on such bills.</p> <hr/> <p><b>1.24 “Critical Event(s)”:</b> The events and Deliverables listed as such in Appendix A.</p> <p><b>5. Critical Events.</b> Acceptance of the following Deliverables shall be the Critical Events:</p> <p style="padding-left: 40px;">Pilot Go Live Event Early Adopters Go Live Event(s) King County Go Live Event</p> <p><b>Appendix C:</b> AOC shall assess up to \$1000 per day from the scheduled Critical Event Acceptance date until the date each Critical Event receives Acceptance from AOC.</p> <p><b>Result of Desired Outcome #2: Holdback</b></p> <p><b>1.40 “Holdback”:</b> The payment amounts held back by AOC from each invoice for Charges for Deliverables, as described in Section 17.5 and Appendix A.</p> <p><b>17.5 Holdback.</b> AOC shall retain a Holdback of 10% of amounts invoiced as prescribed in this Contract for Deliverables, Services and other Project tasks performed. AOC shall authorize Contractor’s submission of an invoice for payment of the Holdback as described in Appendix A. AOC shall pay this amount in accordance with invoicing procedures in Section 3.5.</p> <p><b>Appendix A - Holdback Release</b></p> <p><b>1.2</b> <span style="float: right;"><b>Holdback.</b></span> AOC will pay Contractor the Holdback following receipt by AOC of an invoice which is issued in accordance with the terms of this Contract following Acceptance of the last Release and correction by Contractor of Cosmetic Deficiencies and all other Deficiencies that were permitted by AOC on Acceptance of the last Release and prior Releases.</p>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
			<p><b>Result of Desired Outcome #3: Deliverable Timeliness</b></p> <p><b>1.30 “Deliverables”:</b> Contractor’s products which result from the Services and which are prepared for AOC (either independently or in concert with AOC or third parties) during the course of Contractor’s performance under this Contract, including without limitation deliverables which are described in APPENDIX A, the Work Plan and Change Orders, as well as all designs, structures, and models developed in the course of rendering the Services and incorporated into such products.</p> <p><b>7.1.2</b> All Deliverables shall be subject to AOC’s Acceptance, including without limitation Deliverables provided pursuant to Change Orders. AOC’s review of Deliverables shall be in accordance with the time frames therefore set forth in the Work Plan.</p> <p><b>Additional Remedies:</b></p> <p><b>17.5</b> <span style="float: right;"><b>Withholding Payments.</b></span> If Contractor fails to deliver Deliverables or to provide Services which satisfy Contractor’s obligations hereunder, AOC shall have the right to withhold any and all payments due hereunder. AOC may withhold any and all such payments due hereunder to Contractor, as aforesaid, without penalty or work stoppage by Contractor, until such failure to perform is cured.</p> <p><b>17.6</b> <span style="float: right;"><b>Reductions in Payments Due.</b></span> Amounts due AOC by Contractor, including but not limited to liquidated or other damages, or claims for damages, may be deducted or set off by AOC from any money payable to Contractor pursuant to this Contract. AOC shall provide Notice to Contractor of any such deduction or set-off.</p> <p><b>22.2</b> <span style="float: right;"><b>Termination for Rejection of Deliverables.</b></span> If Contractor is unable to correct Deficiencies in a Deliverable, as described in Section 7.3, AOC shall have the right to immediately terminate this Contract, in whole or in part, without penalty or liability to AOC, and return to Contractor the Deliverable and other Deliverables that do not have value to AOC as a result of the termination, in AOC’s judgment, including but not limited to the System, in whole or in part. If AOC terminates this Contract under this Section, Contractor shall, within 20 Days thereafter, refund to AOC all payments made to Contractor for any of the following returned Deliverables and Services rendered therefor:</p> <p style="padding-left: 40px;"><b>22.2.1</b> If AOC terminates the Contract prior to Acceptance of the Release for the Pilot, Contractor shall return payments made for the</p>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
			<p>following Deliverables: (a) Pilot Local Testing Effort; (b) Pilot Test Package; (c) System Acceptance at Pilot; (d) SC-CMS Pilot; and (e) Pilot Converted Data;</p> <p>22.2.2 If AOC terminates the Contract prior to Acceptance of Release 1, Contractor shall return payments made for the following Deliverables: (a) Release 1 Training Documentation; (b) Release 1 Test Package; (c) System Acceptance of Release 1; and (d) the Production version of Release 1; and</p> <p>22.2.3 If AOC terminates the Contract prior to Acceptance of Release 2, Contractor shall return payments made for the following Deliverables: (a) Release 2 Training Documentation; (b) Release 2 Test Package; (c) System Acceptance of Release 2; and (d) the Production version of Release 2.</p>
<p>4. Support and Maintenance Program</p>	<p><b>Desired Outcome 1:</b> Determine the degree of flexibility in using the hours identified as insurance hours for legislative changes.</p> <p><b>Desired Outcome 2:</b> Establish an expected timeframe for implementation (normally 60 days or so) to implement legislative changes.</p> <p><b>Desired Outcome 3:</b> Provide for the ability to give the legislature information necessary to delay the change if the level of effort is such that the changes cannot be made in the 60 day timeframe.</p>	<p>Support and Maintenance Program –</p> <ul style="list-style-type: none"> <li>• What is our flexibility for using these hours?</li> <li>• Can unused hours be used for other professional services?</li> </ul> <p>Court Rules – Time Sensitive</p>	<p><b>Result of Desired Outcome #1: Flexibility of Legislative Changes</b></p> <p><b>1.45 “Legislative Change”:</b> A refinement, Enhancement, or other modification to the Proprietary Software necessary to comply with legislation, administrative regulation, or judicially mandated change affecting AOC and pertaining to: (a) existing reports, exports, or data exchanges; (b) new reports; (c) new data entry fields for state reporting; (d) new fee calculations; (e) new disposition templates; (f) new sentence templates; (g) new citation templates; or (h) other changes needed to so comply. Legislative Changes do not include the expansion of Purchaser’s constitutional or operational responsibilities beyond those that exist as of the Effective Date.</p> <p><b>Result of Desired Outcome #2: Expected Timeframe for Implementation</b></p> <p><b>13.6.4</b> Contractor shall implement Legislative Changes within the time frames set forth in the applicable legislation regulation or as otherwise agreed to in writing between the parties, but in any event no later than the next Proprietary Software Version Release. Each year during the term for Maintenance Services, Contractor shall perform Services to design, develop, test, implement, train, configure, perform project management, or convert data for Legislative Changes for the number of hours of Services, at Contractor’s hourly rates in Appendix A, equal to not more than 10% of the total annual Maintenance Fees for the Proprietary Software during each annual maintenance terms. To the extent additional Services are required for Legislative Changes, such Services shall be billed to AOC as follows: (a) the first 500 hours at the rate of \$136.00 per hour; and (b) thereafter at Contractor’s</p>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
			<p>hourly rates in Appendix A. Upon the mutual determination of the need for a Legislative Change that exceeds the limitations set forth above, Contractor shall provide AOC with a Change Order identifying the total number of hours that Contractor shall provide as part of its Maintenance Services Charges for Legislative Change Support as calculated above plus the additional cost to AOC.</p> <p><b>Result of Desired Outcome #3: Explanation to Legislature for Delay of Change</b> Tyler would help support the State in providing an explanation to Legislature and would be based on the magnitude of change.</p>
5. Key Staff	<p><b>Desired Outcome #1:</b> Key staff discussions are documented in the Draft Contract, Section 4.4.2. Changing and/or replacement of Key Project Staff is also addresses in RFP Section 4.3.1. Key staff and their associated positions will be documented in Appendix A, section 2 of the contract.</p>	<p>Key Staff continuity</p> <p>Key Staff positions may include:</p> <ul style="list-style-type: none"> <li>• Project Manager</li> <li>• Implementation Manager</li> <li>• Integration Manager</li> <li>• Training Manager</li> </ul>	<p><b>Result of Desired Outcome #1: Key Staff</b></p> <p><b>1.44</b> Contractor’s key personnel listed on Appendix A.</p> <p><b>4.2.2.</b> The Contractor Project Manager and other Key Staff shall attend weekly status meetings with the AOC Project Manager and other members of AOC’s Project team during the Project at times as mutually agreed upon in a Project management plan. These weekly status meetings shall follow a preset agenda jointly prepared by the Contractor Project Manager and AOC Project Manager, but will also allow both Contractor and AOC to discuss other issues that may concern either party.</p> <p><b>Appendix A, Section 2. Key Staff.</b> Following are Tyler’s Key Staff:                      Project Executive: Mr. Tom Bartel                      Project Director: Ms. Kristin Wheeler                      Project Manager: Mr. Chris Keltner                      Support Account Manager: To be named prior to pilot court go-live</p>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
6. Price	<p><b>Desired Outcome #1:</b> Lowest hourly rate that the Vendor willing to accept without compromising scope.</p> <p><b>Desired outcome #2:</b> Lowest support and maintenance cost the Vendor is willing to accept without compromising service levels.</p> <p><b>Desired Outcome #3:</b> Determine if there are opportunities around potential cost avoidance identified in section 8.6 of the Vendors cost proposal.</p>	<p>NIEM Translation - \$2,166,768</p> <p>Letter of Credit - \$ 225,000</p> <p>Onsite technical support - \$ 341,120</p> <p>Disaster Recovery - \$ <u>483,750</u></p> <p><u>\$3,216,638</u></p>	<p><b>Result of Desired Outcome #1: Lowest Hourly Rate</b></p> <ul style="list-style-type: none"> <li>• Hourly Rate for services is set at \$164.00 for the services in the Statement of Work.</li> <li>• The Change Order rate is <b>to be determined</b>.</li> <li>• Rates for legislative changes (above the 10% allotment and up to 500 hours) are \$136.00 per hour.</li> </ul> <p><b>Result of Desired Outcome #2: Lowest Support and Maintenance Cost</b> No changes to the proposed cost. Additional hours for Legislative Changes.</p> <p><b>Result of Desired Outcome #3 (includes Steering Committee Items): Assumptions and Terms Affecting Cost</b></p> <ul style="list-style-type: none"> <li>• NIEM Translation – Tyler’s responsibility to develop, no change</li> <li>• Letter of Credit – Remains in effect, no change</li> <li>• Onsite Technical Support – removed from scope resulting in a savings of \$341,120.</li> <li>• Disaster Recovery – Removed from the contractor’s scope of work resulting in a savings of \$483,750.</li> </ul>
7. Staffing Level Expectations	<p><b>Desired Outcome #1:</b> Bring clarity to the ratio of trainers to trainees in the classroom environment.</p> <p><b>Desired Outcome #2:</b> Bring clarity to the staffing level that the Vendor assumes in the proposal.</p> <p><b>Desired Outcome #3:</b> Bring clarity to the staffing levels the Vendor expects of AOC and the courts for each phase of the project.</p>	<p>Training Approach and staffing levels</p> <p>Staffing Level</p>	<p><b>Result of Desired Outcome #1: Ratio of Trainers to Trainees</b> As proposed and confirmed by Tyler, training model is a 1:16 trainee to trainer ration.</p> <p><b>Result of Desired Outcome #2: Clarity of Staffing Level</b> Tyler's staffing strategy on large multi-year projects focuses on establishing a permanent personnel foundation consisting of the Project Director, the Project Manager, and the lead Business Analyst. Tyler will build on that foundation with additional specialists that are brought in to perform a specific project task or tasks. These specialists include data conversion architects, hardware specialists, specialized business analysts (calendar, financials, etc...), application trainers, and go-live support specialists.</p> <p><b>Result of Desired Outcome #3: Staffing Expectation of Courts and AOC</b> The “Super User” is the most important position at the individual court and county clerk’s office level and is required for successful implementation. Depending on the size of the court and county clerk’s office, a local IT contact may be a required position for larger courts. AOC’s staffing plan meets the expectations of Tyler.</p>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
8. Change Control Process	<b>Desired Outcome #1:</b> The change control process is documented in the Draft Contract, Section 15.	Change Control Process	<p><b>Result of Desired Outcome #1: Changes</b></p> <p><b>15.1 AOC Issuance of Change Requests.</b> AOC may, at any time by a written Change Request to Contractor, request changes within the scope of the Contract. Such changes may include, without limitation, revisions to Deliverables or Services.</p> <p><b>15.2 Contractor Response to Change Request.</b> Contractor shall respond in writing to a Change Request within 15 business days of receipt, advising AOC of any cost and Schedule impacts. When there is a cost impact, i.e., increase or decrease in Charges, Contractor shall advise AOC in writing of the increase or decrease involved, including a breakdown of the number of Staff hours by level of contractor and AOC personnel needed to effect this change.</p> <p><b>15.3 Contractor Submission of Change Request.</b> Contractor may also submit a Change Request to AOC to propose changes that should be made within the scope of the Contract. Any such Change Request shall include proposed costs and Schedule impacts, including a breakdown of the number of Staff hours by level of Contractor and AOC personnel needed to effect this change. AOC will respond to such Change Requests from Contractor within 20 Days of receipt. If the parties reach an agreement on a Change Order in writing, and the Change Order is executed by authorized representatives of the Parties, the terms of this Contract shall be modified accordingly. If the parties are unable to reach an agreement in writing on a Change Request submitted by Contractor, the AOC Project Manager will be deemed to have rejected the requested Change Request.</p> <p><b>15.4 Mutual Agreement on Change Order.</b> The Contractor Project Manager and the AOC Project Manager shall negotiate in good faith and in a timely manner as to the price for and the impact on the Schedule of any Change Request. If the parties reach an agreement on a Change Order in writing, and the Change Order is executed by authorized representatives of the parties, the terms of this Contract shall be modified accordingly. The parties will execute a formal Contract amendment for any Change Order that increases or decreases the Maximum Amount. Change Orders must be executed by the AOC ISD Director. Contractor will promptly incorporate all Change Orders affecting the Services and Deliverables into applicable System Documentation. In no event shall the Charges be increased nor shall the Schedule be extended in a Change Order to correct errors or omissions in the Response.</p> <p><b>15.5 Disagreement.</b> If AOC submits to Contractor a Change Request and if the</p>

## Addendum - Contract Negotiations Desired/Actual Outcomes

Point of Negotiation	Desired Outcome	Steering Committee Item(s)	OUTCOME
			<p>parties are unable to reach an agreement in writing within 15 business days of Contractor’s response to such a Change Request, the parties shall escalate the disagreement to senior management under the dispute resolution process under Section 14 and act in good faith to attempt to resolve their disagreement related to the scope, Schedule and costs of the Change Request. If the parties are not able to resolve the disagreement as provided in Section 14, the parties shall, if mutually agreed upon in writing, retain an independent third party mediator under the rules of JAMS/Endispute to assist them in finding a resolution to the disagreement. The parties shall equally share the costs associated with the mediator services. Either party shall have the right to end the use of any such mediator at any time. Contractor and AOC agree that, the existence of a dispute notwithstanding and the termination of such mediation process, they will continue without delay to carry out all their respective responsibilities and obligations under this Contract and shall have the right to exercise their rights and remedies.</p> <p><b>15.6 Termination.</b> If Contractor fails or refuses to perform its Services pursuant to Section 15.5 or a Change Order, Contractor shall be in material breach of this Contract, and AOC shall have the right to terminate the Contract for such a breach in accordance with Section 22.1</p>

*MANAGEMENT CONSULTING*  
*FOR*  
*STATE AND LOCAL*  
*GOVERNMENTS*

*QUALITY ASSURANCE (QA)*

*PROJECT OVERSIGHT*

*INDEPENDENT VERIFICATION  
AND VALIDATION (IV&V)*

*PROJECT MANAGEMENT*

*RISK REDUCTION*

*TECHNOLOGY ALIGNMENT*

**Quality  
Assurance  
Assessment**

for the  
**State of  
Washington**

**Administrative  
Office of the  
Courts (AOC)**

**SC-CMS  
Project**

**June 30, 2013**

Prepared by  
**Bluecrane, Inc.**



*bluecrane* ®





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## Part 1: Executive Summary and Assessment Dashboard

### *Executive Summary*

This report provides the June 2013 quality assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the State of Washington Administrative Office of the Courts (AOC) Superior Court – Case Management System (SC-CMS) Project.

Our report is organized by assessments in the project areas of:

- Project Management and Sponsorship
- People
- Application
- Data
- Infrastructure

The 2013/15 budget developed by the Washington state legislature was passed on June 29 and signed by the Governor on June 30. The enacted budget contains funding for the SC-CMS project, averting a cancelation of the project.

Contract negotiations with Tyler Technologies continued satisfactorily in June and, if negotiations are completed in early July, a recommendation for moving forward will be made by the SC-CMS Steering Committee at the July 19 JISC meeting. If the negotiations are delayed past early July, the recommendation will be made at the September JISC meeting. Vendor activities will begin approximately six weeks following execution of the vendor contract.

Additionally, preparations for the next phase of the project continued in June in all areas of the project. The AOC Court Business Office continued to evolve business process models through facilitation of the Court User Work Group. During June, work progressed on an approach for selecting one or two pilot courts with the drafting of messages to initiate communications with courts who may choose to volunteer as a pilot court. Also, preparations of the technical environment continued in June with the continued development and testing of Information Networking Hub services.



**bluecrane QA Assessment Dashboard**

Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
<b>Project Management and Sponsorship</b>					
<b>Governance</b>	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>The SC-CMS Steering Committee made a recommendation to begin negotiations with Tyler Technologies for purchase and implementation of their Odyssey court system. The JISC has approved the recommendation. The Steering Committee will make a final recommendation to the JISC on the procurement following contract negotiations with Tyler Technologies which are currently underway and expected to be completed in July. If the negotiations are completed in early July, the Steering Committee will make a recommendation to the JISC at the July19 JISC meeting. The recommendation will be to either go forward with executing the Tyler Technologies contract or consider another yet undetermined option.</p> <p>The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.</p>
<b>Scope</b>	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>The scope of the SC-CMS project has been established in the SC-CMS RFP requirements for procurement of the COTS system. The recommendation from the SC-CMS Steering Committee to the JISC contains provisions for increasing the scope of the project through the addition of functionality including document management, financial management, and e-filing. AOC has planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. Adding the implementation of one or more additional modules may increase the risk of completing the project successfully. It is imperative that the project utilize its previously established change management process.</p>



Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Schedule	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The project is utilizing a project schedule to organize, assign, and track project work. The SC-CMS procurement began contract negotiations with Tyler Technologies on schedule in April. The negotiations continued in May and June. It is anticipated that contract negotiations will be concluded in July. At this time, there are no significant tasks behind schedule.
Budget	Very Urgent Consideration	Extreme Risk	Extreme Risk	No Risk Identified	<p>A special session of the Washington legislature convened on May 13 and developed a joint budget that was passed and signed by the Governor on June 30. The enacted budget contains funding for the SC-CMS project.</p> <p>The June legislative action removes the risk created in March when the Washington Senate proposed a 2013-15 state operating budget that provided no funding for the Superior Court Case Management System (SC-CMS) and swept over \$20 million from the Judicial Information System (JIS) account administered by the Administrative Office of the Courts.</p>
Communication	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.
Staffing and Project Facilities	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors re-evaluated the staffing plan and made adjustments based on the needs for system configuration and implementation activities. If the project scope is increased through negotiations with Tyler Technologies, the staffing plan should be re-evaluated to identify any additional resource requirements to support the additional scope.



Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Adding the implementation of one or more additional Tyler Technologies Odyssey modules may increase the risk of completing the project successfully. It is imperative that the project utilize its previously established change management process to identify and assess the impacts of any proposed change.
Risk Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Risk Management Plan, the project is identifying and managing risks.
Issue Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Issue Management Plan, the project team is identifying and tracking issues.
Quality Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Quality Management Plan has been presented to the Project Sponsors for review and approval.
<b>People</b>					
Stakeholder Engagement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Stakeholder engagement and organizational change management activities are underway, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as "pilots."
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	In March, the Court User Work Group (CUWG) began reviewing and validating the As-Is business process models. Development and validation of the As-Is business processes are scheduled to be completed prior to execution of the Tyler Technologies contract.



Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Vendor Procurement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and are anticipated to be completed in July. If negotiations are completed in early July, a recommendation for moving forward will be made at the July 19 JISC meeting. If the negotiations are delayed past early July, the recommendation will be made at the September JISC meeting. Vendor activities will begin approximately six weeks following execution of the vendor contract.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Outlines of vendor deliverables have been developed and were used for planning contract negotiations. The list and schedule of vendor deliverables will be updated following successful completion of negotiations.
<b>Application</b>					
Application Architecture	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.
Requirements Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Court Business Office has loaded the SC-CMS requirements into the Rational Requirements Composer (RRC) requirements management tool that is being used to document requirements and for traceability. The Court Business Office and Court User Work Group will document Use Cases for the To-Be processes as needed.
Application Interfaces	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The INH and COTS-Prep Application projects are defining and preparing interfaces using the information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.



**Data**

<b>Data Preparation</b>	<b>N/A</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	The Data Quality Coordinator will coordinate preparation of data in AOC and local court applications. One of the activities is the development of a data profiling report which will identify anomalies in data stored in JIS.
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## Part 2: Review of *bluecrane* Approach

We began our Quality Assurance engagement for the AOC SC-CMS Project by developing an understanding of the project at a macro level. We started by analyzing the following five “Project Areas”:

- ***Project Management and Sponsorship***
- ***People***
- ***Application***
- ***Data***
- ***Infrastructure***

It is not our practice to duplicate Project Management activities by following and analyzing each task and each deliverable that our clients are tracking in their project management software (such as Microsoft Project). Rather, we identify those groups of tasks and deliverables that are key “signposts” in the project. While there are numerous tasks that may slip a few days or even weeks, get rescheduled, and not have a major impact on the project, there are always a number of significant “task groups” and deliverables which should be tracked over time because any risk to those items – in terms of schedule, scope, or cost – have a potentially significant impact on project success.

We de-compose the five Project Areas listed above into the next lower level of our assessment taxonomy. We refer to this next lower level as the “area of assessment” level. The list of areas of assessment grows over the life of the project. The following list is provided as an example of typical areas of assessment:

- ***Project Management and Sponsorship***
  - Governance
  - Scope
  - Schedule
  - Budget
  - Communication
  - Staffing and Project Facilities
  - Change Management
  - Risk Management
  - Issue Management
  - Quality Management
- ***People***
  - Stakeholder Engagement





- Business Processes/System Functionality
- Vendor Procurement
- Contract Management/Deliverables Management
- Training and Training Facilities
- Local Court Preparation
- User Support
- **Application**
  - Application Architecture
  - Requirements Management
  - Implementation
  - Application Interfaces
  - Application Infrastructure
  - Reporting
  - Testing
  - Tools
- **Data**
  - Data Preparation
  - Data Conversion
  - Data Security
- **Infrastructure**
  - Headquarters Infrastructure
  - Regional Infrastructure
  - Partner Infrastructure
  - Technical Help Desk

For each area of assessment within a Project Area, we document in our QA Dashboard our observations, any issues and/or risks that we have assessed, and our recommendations. For each area we assess activities in the following three stages of delivery:

- **Planning** – is the project doing an acceptable level of planning?
- **Executing** – assuming adequate planning has been done, is the project performing tasks in alignment with the plans the project has established?
- **Results** – are the expected results being realized? (A project that does a good job of planning and executing those plans, but does not realize the results expected by stakeholders, is a less than successful project. Ultimately, *results are what the project is all about!*)



Assessed status is rated at a macro-level using the scale shown in the table below.

Assessed Status	Meaning
Extreme Risk	<b>Extreme Risk:</b> a risk that project management must address or the entire project is at risk of failure; these risks are “show-stoppers”
Risk	<b>Risk:</b> a risk that is significant enough to merit management attention but not one that is deemed a “show-stopper”
Risk Being Addressed	<b>Risk Being Addressed:</b> a risk item in this category is one that was formerly red or yellow, but in our opinion, is now being addressed adequately and should be reviewed at the next assessment with an expectation that this item becomes green at that time
No Identified Risk	<b>No Risk:</b> “All Systems Go” for this item
Not Started	<b>Not Started:</b> this particular item has not started yet or is not yet assessed
Completed or Not Applicable	<b>Completed/Not Applicable:</b> this particular item has been completed or has been deemed “not applicable” but remains a part of the assessment for traceability purposes

We recognize that simultaneously addressing all risk areas identified at any given time is a daunting task – and not advisable. Therefore, we prioritize risk items in our monthly reports as:

1. Very Urgent Consideration
2. Urgent Consideration
3. Serious Consideration

Given the current phase of the SC-CMS Project, these priorities translate to:

1. Very Urgent Consideration – Potential Impact to the SC-CMS Vendor Procurement
2. Urgent Consideration – Potential Impact to Project’s Readiness for Implementation
3. Serious Consideration – Potential Impact to the Successful Management of the Project



Rating risks at the macro-level using the assessed status and urgency scales described above provides a method for creating a snapshot that project personnel and executive management can review quickly, getting an immediate sense of project risks. The macro-level ratings are further refined by describing in detail what the risk/issue is and what remedial actions are being taken/should be taken to address the risk/issue. The result is a framework for AOC SC-CMS management to evaluate project risks – in terms of business objectives and traditional project management tasks.

We summarize the *bluecrane* QA Dashboard in Part 1 of our monthly report for review with client executives and project management. Part 3 of our monthly report provides the detailed QA Dashboard with all of the elements described above.



### Part 3: *bluecrane* Detailed Assessment Report for June 2013

<b><i>bluecrane</i> Quality Assurance Dashboard for the Washington AOC SC-CMS Project</b>	
<b>Project Area Summary</b>	
<b>Project Area</b>	<b>Highest Level of Assessed Risk</b>
<b>Project Management and Sponsorship</b>	<b>No Risk Identified</b>
<b>People</b>	<b>No Risk Identified</b>
<b>Application</b>	<b>No Risk Identified</b>
<b>Data</b>	<b>No Risk Identified</b>
<b>Infrastructure</b>	<b>No Risk Identified</b>



Category:	<b>Project Management and Sponsorship</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Governance</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation:** The SC-CMS Steering Committee made a recommendation to begin negotiations with Tyler Technologies for purchase and implementation of their Odyssey court system. The JISC has approved the recommendation. The Steering Committee will make a final recommendation to the JISC on the procurement following contract negotiations with Tyler Technologies which are currently underway and expected to be completed in July. If the negotiations are completed in early July, the Steering Committee will make a recommendation to the JISC at the July 19 JISC meeting. The recommendation will be to either go forward with executing the Tyler Technologies contract or consider another yet undetermined option.

The JISC Charter, Steering Committee Charter, Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC. The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.

Category:	<b>Project Management and Sponsorship</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Scope</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation:** The scope of the SC-CMS project has been established in the SC-CMS RFP requirements for procurement of the COTS system. The recommendation from the SC-CMS Steering Committee to the JISC contains provisions for increasing the scope of the project through the addition of functionality including document management, financial management, and e-filing. AOC has planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. Adding the implementation of one or more additional modules may increase the risk of completing the project successfully. For example, if financial management were to be added to the project without a subsequent increase in AOC resources to support the implementation, the successful implementation of the entire project could be at risk. In order to identify



and assess the impacts of any proposed change in scope and the likely resultant changes to resources, schedule, and budget required to support the change, it is imperative that the project utilize its previously established change management process.

Category:	<b>Project Management and Sponsorship</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Schedule</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation:** The project is utilizing a project schedule to organize, assign, and track project work. The SC-CMS procurement began contract negotiations with Tyler Technologies on schedule in April. The negotiations continued in May and June. It is anticipated that contract negotiations will be concluded in July. At this time, there are no significant tasks behind schedule.

The project is reviewing the schedule provided by Tyler Technologies in their proposal to start identifying the integration points of the implementation schedule, but firm timeframes will not be established until contract negotiations with Tyler Technologies have been completed.

Category:	<b>Project Management and Sponsorship</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Budget</b>	<b>Extreme Risk</b>	<b>Extreme Risk</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation/Risk:** A special session of the Washington legislature convened on May 13 and developed a joint budget that was passed and signed by the Governor on June 30. The enacted budget contains funding for the SC-CMS project. The June legislative action alleviated the risk created in March when the Washington Senate proposed a 2013-15 state operating budget that provided no funding for the Superior Court Case Management System (SC-CMS) and swept over \$20 million from the Judicial Information System (JIS) account administered by the Administrative Office of the Courts.



Category:	<b>Project Management and Sponsorship</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Communication</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation:** Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.

**Status:** The Communications Management Plan contains an approach for both internal and external communications activities. Internal communication activities include project status reports, performance reports, and project team meetings. External communications are used to inform stakeholders and end-users, in particular, of project activities that will affect them.

Project status is communicated primarily orally in various project meetings. A project status report is developed bi-weekly but published only to the project library.

Category:	<b>Project Management and Sponsorship</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Staffing and Project Facilities</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation:** Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff. Project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors re-evaluated the staffing plan and made adjustments based on the needs for system configuration and implementation activities. If the project scope is increased through negotiations with Tyler Technologies, the staffing plan should be re-evaluated to identify any additional resource requirements to support the additional scope.

Identification of subject matter experts (SMEs) from the court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will last three to four months and will start soon after contract negotiations are complete.



Category:	Project Management and Sponsorship	April 2013	May 2013	June 2013
Area of Assessment:	Change Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

**Observation:** Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget. Changes in scope as part of the negotiations with Tyler Technologies should be processed as change orders.

Category:	Project Management and Sponsorship	April 2013	May 2013	June 2013
Area of Assessment:	Risk Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

**Observation:** Consistent with the Risk Management Plan, the project is identifying and managing risks.

Category:	Project Management and Sponsorship	April 2013	May 2013	June 2013
Area of Assessment:	Issue Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

**Observation:** Consistent with the Issue Management Plan, the project team is identifying and tracking issues.





Category:	Project Management and Sponsorship	April 2013	May 2013	June 2013
Area of Assessment:	Quality Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** The project team has developed a Quality Management Plan which has been presented to the Project Sponsors for review and approval.

Category:	People	April 2013	May 2013	June 2013
Area of Assessment:	Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** Stakeholder engagement and organizational change management activities are underway, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as “pilot courts.”



Category:	People	April 2013	May 2013	June 2013
Area of Assessment:	Business Processes / System Functionality	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** In 2012 and early 2013, the Court Business Office (CBO) performed analysis and validation of the existing court business processes and began developing As-Is process models. In March, the Court User Work Group (CUWG) began reviewing and validating the As-Is business process models. Development and validation of the As-Is business processes are scheduled to be completed prior to execution of the Tyler Technologies contract.

Category:	People	April 2013	May 2013	June 2013
Area of Assessment:	Vendor Procurement	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and are anticipated to be completed in July. If negotiations are completed in early July, a recommendation for moving forward will be made at the July 19 JISC meeting. If the negotiations are delayed past early July, the recommendation will be made at the September JISC meeting. Vendor activities will begin approximately six weeks following execution of the vendor contract.



Category:	<b>People</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Contract Management / Deliverables Management</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation/Risk:** Outlines of vendor deliverables have been developed and were used for planning contract negotiations. The list and schedule of vendor deliverables will be updated following successful completion of negotiations.

Category:	<b>Application</b>	<b>April 2013</b>	<b>May 2013</b>	<b>June 2013</b>
Area of Assessment:	<b>Application Architecture</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>	<b>No Risk Identified</b>
Urgency:	<b>N/A</b>			

**Observation:** The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.



Category:	Application	April 2013	May 2013	June 2013
Area of Assessment:	Requirements Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** The Court Business Office has loaded the SC-CMS requirements into the Rational Requirements Composer (RRC) requirements management tool that is being used to document requirements and for traceability. The Court Business Office and Court User Work Group will document Use Cases for the To-Be processes as needed.

Category:	Application	April 2013	May 2013	June 2013
Area of Assessment:	Application Interfaces	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** The INH and COTS-Prep Application projects are defining and preparing interfaces using the interface information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.



Category:	Data	April 2013	May 2013	June 2013
Area of Assessment:	Data Preparation	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A	No Risk Identified	No Risk Identified	No Risk Identified

**Observation:** The Data Quality Coordinator will coordinate preparation of data in AOC and local court applications. One of the activities is the development of a data profiling report which will identify anomalies in data stored in JIS.



# **Superior Court Data Exchange**

## **Project Update**

Mike Walsh - Project Manager

July 19, 2013



# Pierce County Update

- Pierce County has notified AOC that the county's Technology Investment Board has directed the county IT department to complete work on 6 of 66 SCDX data exchanges.
  - All work on the remaining 60 data exchanges will be put on hold – indefinitely.
  - They estimated that it would require Pierce to devote 3,000 hours to complete all 66 SCDX data exchanges.

# Recent Activities

## Pierce County data exchange on boarding:

- ✓ Docket Modifications to handle LINX docket sequencing deployed
- Problem discovered in Civil Case validation: Case initiation with well-identified persons results in duplicate docket entries being added to cases
  - AOC is making a small modification to SCOMIS to address this issue
  - Pierce County SCDX start up is delayed until modification is implemented





# Recent Activities

**All SCDX web services have now completed initial testing by AOC**

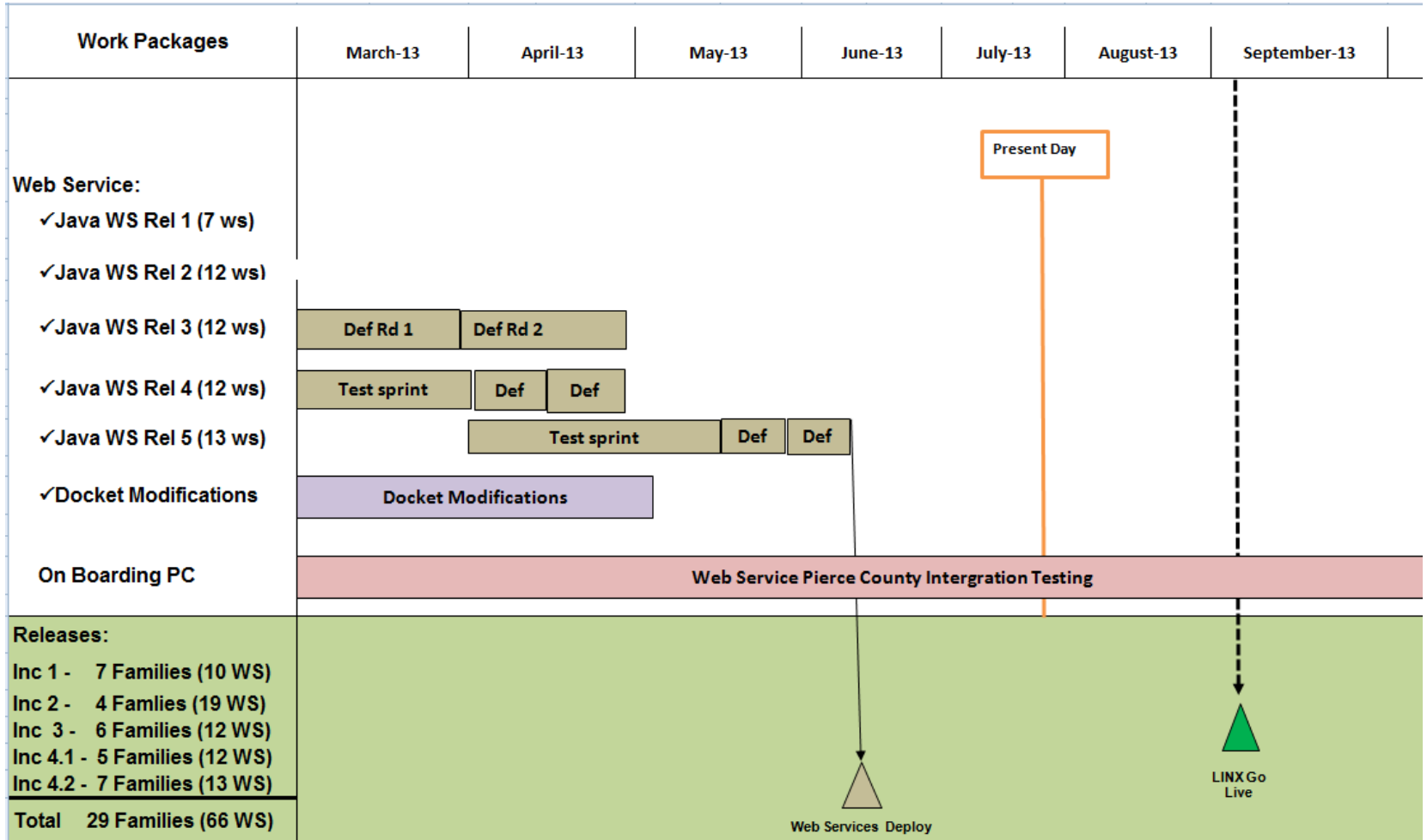
## **Increment 3 Status (12 web services)**

- ✓ All 12 web services approved and deployed

## **Increment 4 Status (25 web services)**

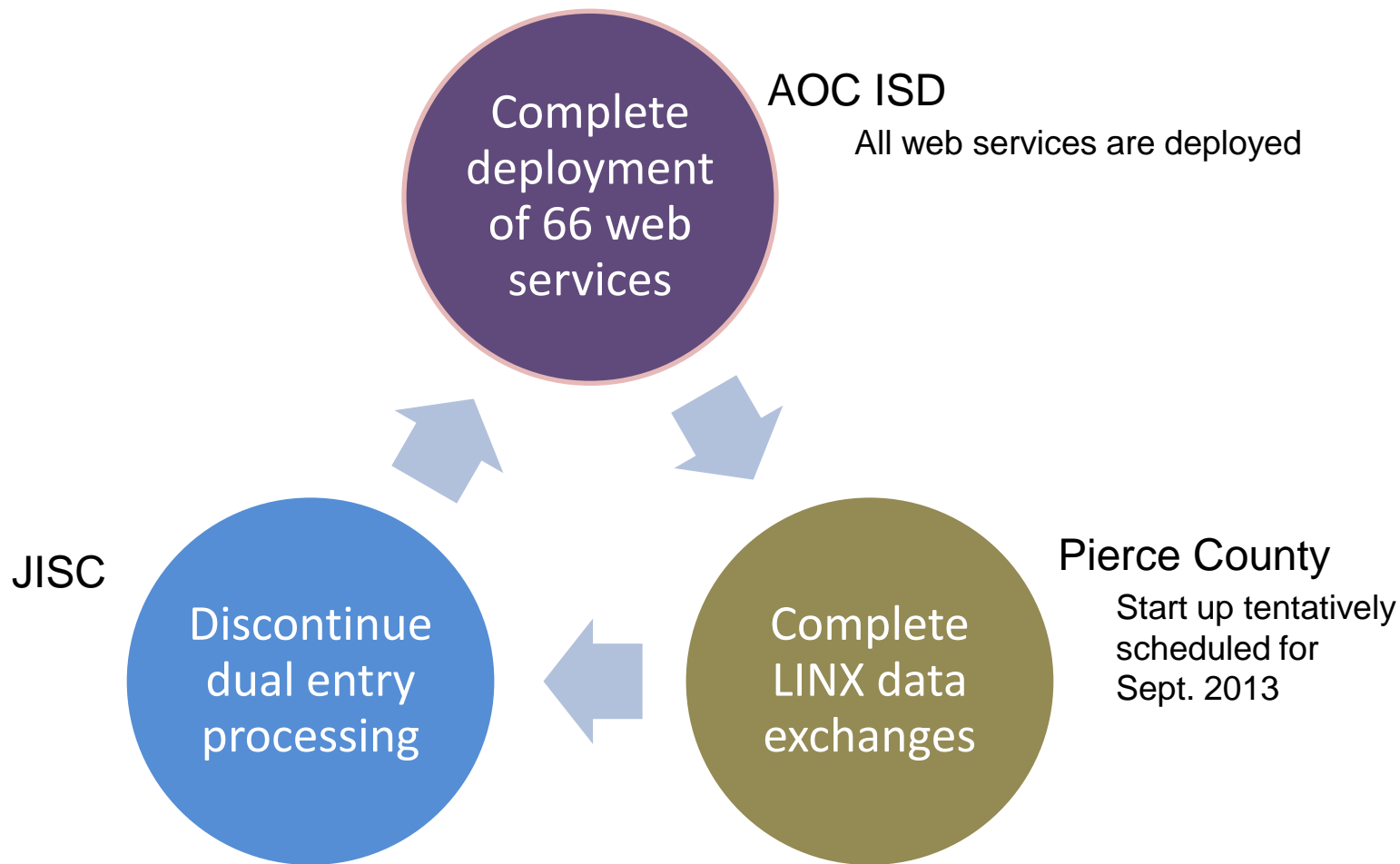
- ✓ All 25 web services approved and deployed

# Schedule





# When are we done?



# Active Project Issues

Low Urgency	Medium Urgency	High Urgency	Closed
0	0	3	0

## High Urgency Issues Status

Issue	Urgency/Impact	Action
Pierce Docket entry sequence causes erroneous case status in SCOMIS	High/High	<ul style="list-style-type: none"> <li>• Changes to both the Pierce County sending services and the AOC receiving services</li> </ul>
SCDX team lacks SME for business guidance	High/High	<ul style="list-style-type: none"> <li>• Accept risk and continue to use available ISD resources where appropriate</li> </ul>
Docket service integration problem with judgment dockets	High/High	<ul style="list-style-type: none"> <li>• Review mitigation options with ISD leadership</li> </ul>



# Next Steps

Milestone	Date
Pierce County starts using Docket services	September 2013
AOC supports Pierce County, King County and any other customers as they start consuming services	On-going



615 South 9th Street, Room 300  
Tacoma, Washington 98405-4666  
(253) 798-7476 • FAX (253) 798-6622  
June 24, 2013

Callie T. Dietz  
State Court Administrator  
State of Washington  
P. O. Box 41174  
Olympia, WA 98504-1174

Dear Ms. Dietz,

Pierce County and AOC have a long history of working cooperatively on automating court filings and data processing. These systems and tools have allowed both organizations to minimize staff time and reduce costs. Specifically, the Web-services data transfer tools that are currently under development is the subject of this letter.

As with most local governments, Pierce County's Information Technology Department budget has been significantly reduced over the last three years. In 2012, the County Council conducted a review and prepared a Performance Report that describes how the County will prioritize technology project work and resources with the goal of not exceeding budget targets. The plan gives authority to a Technology Investment Board, chaired by the County Executive, to determine what technology projects will be completed with the limited available resources.

In May 2013, the Technology Investment Board reviewed IT's work program and determined that the AOC Data Exchanges are not cost-justified. The estimate for completing the 66 data exchanges exceeds 3,000 hours. The Board directed IT to complete exchanges 1-6 (in-progress and nearing completion) and put the remaining work on hold.

Please let me know if you have any questions about our actions. Thank you for your organization's cooperation in the pilot project.

Regards,

Linda Gerull  
Information Technology Department, Director  
Pierce County, WA  
lgerull@co.pierce.wa.us

CC: Vonnie Diseth, Director, Information Services Division Administrative Office of the Courts ✓  
Kevin Stock, Superior Court Clerk, Pierce County  
Al Rose, County Executive Office, Pierce County



# **ITG Request 45 – Appellate Courts Enterprise Content Management System (AC-ECMS)**

## **Project Update**

Martin Kravik, Project Manager

July 19, 2013



# Legislative Funding

- 2013-15 Budget funded the project at \$333,000 instead of the requested \$1,426,000
- AOC will be submitting the request again for the supplemental budget
  - If the supplemental budget request is not successful, AOC believes funding is available within its current allocation
- The project is moving forward with contract negotiations with the Apparent Successful Vendor for the original, planned project scope





# Recent Activities

- ✓ Ongoing contract negotiations during May, June, and July 2013
- ✓ Postponed seeking JISC approval for contract award to the September 6, 2013 meeting

# Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
2	0	0

# Significant Risk Status

Risk	Probability/Impact	Mitigation
0	0	0

# Active Project Issues

Total Project Issues			
Low Urgency	Medium Urgency	High Urgency	Closed
1	0	0	5

# Significant Issues Status

Issue	Urgency/Impact	Action
None		



# Next Steps

Milestone	Date
Send draft contract to the ESC for review	July 31, 2013
Develop ESC recommendation to the JISC	August 23, 2013
Approval of the ESC recommendation by the JISC	September 6, 2013
Contract execution	September 2013
Develop the project implementation schedule	September 2013
Begin Analysis and Design	October 2013

# **ITG Request 41 - CLJ Revised Computer Records Retention and Destruction**

## **Project Update**

Kate Kruller, PMP - Project Manager

July 19, 2012



# Project Objectives

- Eliminate all Courts of Limited Jurisdiction computer record archiving in JIS applications
- Revise destruction of case records processes in JIS, based upon the records retention policy from the Data Dissemination Committee

# Recent Activity

- ✓ Completed Restore case file process
  - Seven (7) million active cases were restored from 1,080 archive tape volumes in just **100** days
  
- ✓ Completed outreach:
  - DMCMA Spring Regional Training (eleven events through April)
  - DMCMA Spring Conference May 20, 2013
  
- ✓ Completed Data Dissemination Committee consultation:
  - Provided project information needed for May draft policy update

# Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
0	0	0

## Significant Risk Status

Risk	Probability/Impact	Mitigation



# Active Project Issues

Total Project Issues			
Active	Monitor	Deferred	Closed
0	0	0	0

# Significant Issues Status

Issue	Urgency/Impact	Action

# Next Steps

- Develop Preliminary Rules, July – September, 2013
  - No additional cases are being archived
  - No destruction rules apply to active tables during this process
  
- Archiving is Decommissioned, November, 2013
  - Updated Destruction of Records Report
  - Preliminary rules applied to cases in active tables  
(current rules, plus eTicket and VRV compliance rules)
  
- Apply Revised Rules - May, 2014:
  - New records retention and destruction rules applied to active tables



# **Information Networking Hub (INH)**

## **Project Update**

Dan Belles, PMP - Project Manager

July 19, 2013

# Recent Activities

## Project Team Changes

- ✓ Joel Byford – Left for new position
- ✓ New Project Leads – Middleware/EDR

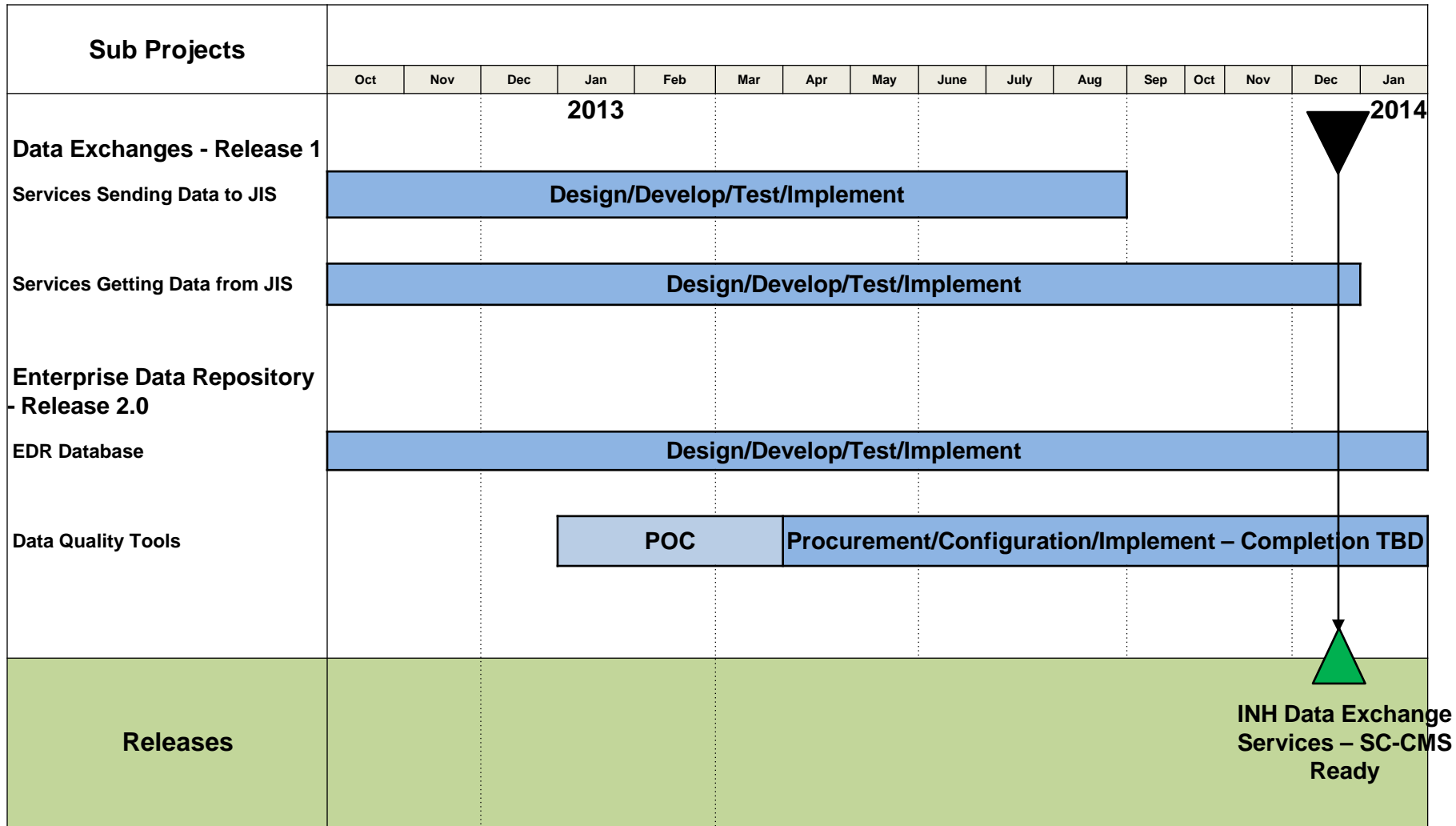
## INH Middleware Data Exchanges (SC-CMS Ready)

- ✓ Implemented BizTalk Data Exchange Platform Enhancements
- ✓ Designed 4 new Data Exchanges
- ✓ Developed 21 new Data Exchanges
- ✓ Tested 11 Data Exchanges and resolved 6 defects

## Enterprise Data Repository (EDR)

- Continued Database Models Review
- Continued Database Analysis and Solution Design

# Schedule





# Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
0	0	2

## Significant Risks Status

Risk	Probability/Impact	Mitigation
Critical Project Inter-dependencies	High/High	•Inter-dependent Project Coordination Team (IPCT)
Services and EDR Integration with SC-CMS Application	High/High	•Collaborate with SC-CMS technical team and vendor to develop an interface integration plan

# Active Project Issues

Total Project Issues			
Active	Monitor	Deferred	Closed
0	0	0	3

# Significant Issues Status

Issue		Urgency/Impact	Action



# Next Steps

## Middleware Sub Project

Milestone	Date
Develop Data Exchanges and BizTalk Enhancements	December 2013
Testing INH Services	December 2013
Resolve Defects/SC-CMS Ready	December 2013

## Enterprise Data Repository Sub Project

Milestone	Date
Complete Database Design Reviews	July 2013
Develop Security Model	September 2013
Design Database Solution	September 2013
Develop Physical Database	January 2014
Implement Data Quality Automation	To Be Determined





# **Washington State Administrative Office of the Courts**

## **ISD Monthly Status Report for the Judicial Information System Committee (JISC)**

**May 2013**  
(Report Period Ending May 31, 2013)

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## Background

This report communicates the status and progress of information technology projects and operational work underway at the Administrative Office of the Courts (AOC).

Under the direction of the Judicial Information System Committee (JISC), the Information Services Division (ISD) within AOC expends significant resources on the development, improvement and implementation of new systems in support of the Washington Courts. ISD resources also maintain and operate these information technology systems and infrastructures once they are in use. The systems and services provided by AOC are used by judges, court administrators and staff, county clerks, numerous government agencies, and the public.

As ISD embarks on the course of implementing the JISC's information technology priorities for Washington Courts, this report is a key to measuring and monitoring progress. It provides the JISC and AOC leadership with the current snapshot of information to keep them informed and prepared to communicate ISD accomplishments.

# Initiatives & Project Plan Overview

## May 2013

SCHEDULE STATUS KEY



= Active/on track



= Changes w/ Moderate impact



= Significant rework/risk



= Not active



= Completed

Planned

Actual

Initiatives	Schedule Status		CY10	CY11	CY11	CY11	CY11	CY12	CY12	CY12	CY12	CY13	CY13	CY13	CY13	CY14	CY14
			Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
3.4 Implement IT Service Management – change, configure, release	⊖	Planned															
		Actual										⊖					
4.2 Mature Application Development Capability	⊖	Planned															
		Actual										⊖					
7.6 Information Networking Hub (INH) Enterprise Data Repository (EDR)	♦	Planned															
		Actual															
7.6 Information Networking Hub (INH) Middleware	♦	Planned															
		Actual															
12.2 Natural to COBOL Conversion	⊖	Planned															
		Actual										⊖					
12.3 Superior Court Data Exchange	▲	Planned															
		Actual															
BizTalk Upgrade	✓	Planned															
		Actual									✓						
DB2 Upgrade	✓	Planned															
		Actual										✓					
Vehicle Related Violations (VRV)	✓	Planned															
		Actual											✓				
SC-CMS RFP	▲	Planned															
		Actual															
COTS Preparation Application	▲	Planned															
		Actual															
COTS Preparation – Network Capacity/Performance Analysis	✓	Planned															
		Actual											✓				
COTS Preparation – SC-CMS Service Level Agreement (SLA) Analysis	✓	Planned															
		Actual											✓				
COTS Preparation – SC-CMS Disaster Recovery	⊖	Planned															
		Actual													⊖		
ITG #045 Appellate Court Enterprise Content Management System (ECMS)	♦	Planned															
		Actual															
ITG #028 CLJ Parking Module Modernization	✓	Planned															
		Actual										✓					
ITG #081 Adult Risk Assessment STRONG 2 Implementation (ARA)	✓	Planned															
		Actual										✓					
ITG #009 Add Accounting Data to the Data Warehouse	●	Planned															
		Actual															
ITG #041 Revised CLJ Computer Records Retention and Destruction Project	♦	Planned															
		Actual															

# Summary of Activities

## Major Changes Since Last Report

This section provides a quick summary of initiatives or projects that have had major changes during the reporting period and includes operational areas or staffing changes that impact the work, timeline, or budget.

### Initiatives & Major Projects Underway

- Superior Court Case Management System RFP (SC-CMS) (ITG #002)
- Superior Court Data Exchange (SCDX) (ITG #121)
- Add Accounting Data to the Data Warehouse (ITG #009)
- Revised CLJ Computer Records Retention and Destruction Project (ITG #041)
- Appellate Courts Enterprise Document Management System (ITG #045)
- COTS Preparation Track
- Information Networking Hub (INH)Track

### Initiatives or Projects Completed

- No new initiatives or projects were completed during the month of May.

### Initiative or Project Status Changes

- Monthly status reporting for the COTS-Preparation Application Program Track project is on-hold until a contract is executed with the SC-CMS vendor.

### Staffing Changes in ISD

During the reporting period of May 1 - 31, 2013:

#### ISD welcomed the following new staff:

- No new employees joined ISD during the month of May.

#### The following employees left ISD:

- Jon French, Desktop Support, (5/31/2013).

#### Employees transferring to the SC-CMS Project:

No employees transferred to the SC-CMS project during the month of May.

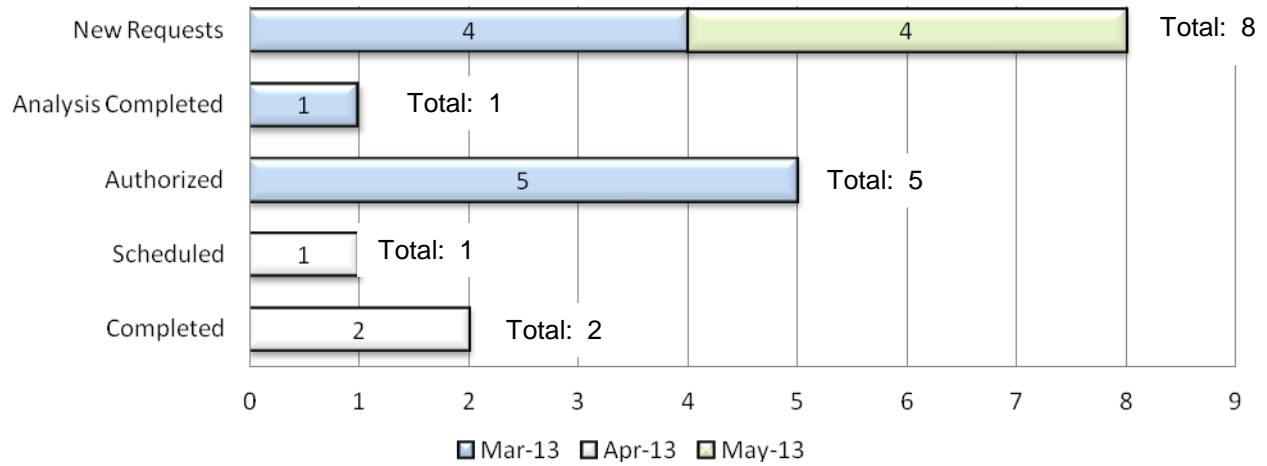
## IT Governance Request Status

### **Completed JIS IT Requests in May 2013**

No requests were completed during the month of May.

**Status Charts**

**Requests Completing Key Milestones**



**Current Active Requests by:**

Endorsing Group			
<b>Court of Appeals Executive Committee</b>	1	<b>District &amp; Municipal Court Management Association</b>	26
<b>Superior Court Judges Association</b>	3	<b>Data Management Steering Committee</b>	1
<b>Washington State Association of County Clerks</b>	9	<b>Data Dissemination Committee</b>	1
<b>Washington State Association of Juvenile Court Administrators</b>	2	<b>Codes Committee</b>	3
<b>District &amp; Municipal Court Judges Association</b>	4	<b>Administrative Office of the Courts</b>	6
<b>Misdemeanant Corrections Association</b>	1		

Court Level User Group	
<b>Appellate Court</b>	1
<b>Superior Court</b>	10
<b>Courts of Limited Jurisdiction</b>	18
<b>Multi Court Level</b>	9



## Summary of Activities May 2013

### Initiative Summary

<b>Transformation Program</b>	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> <li>✓ Projects are on hold due to reassignment of project manager.</li> </ul>	The following activities are on hold: <ul style="list-style-type: none"> <li>• Release Management Implementation</li> <li>• Application Development Management</li> <li>• Enterprise Requirements Management</li> </ul>
<b>COTS Preparation Application Program</b>	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> <li>✓ Monthly status reporting for this project is on-hold until a contract is executed with the SC-CMS vendor.</li> </ul>	Provides understanding of current working environment and enables solution design.
<b>COTS Preparation - SC-CMS Disaster Recovery</b>	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> <li>✓ Monthly status reporting for this project is on-hold until a contract is executed with the SC-CMS vendor. When a contract with an ASV is executed, the Disaster Recovery analysis work relative to SC-CMS will be completed.</li> </ul>	Provide disaster recovery services to support future COTS product and SC-CMS implementation.
<b>Information Networking Hub (INH) Enterprise Data Repository (EDR) Project</b>	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> <li>✓ Completed the design review sessions with the Database Design Review Team.</li> </ul>	Validates EDR design.
<ul style="list-style-type: none"> <li>✓ Made a presentation to AOC ISD Leadership Team laying out a strategy for moving the Data Governance/Data Quality Programs forward and the options for acquiring a data quality tool.</li> </ul>	Develop business case for Data Quality tools.
<ul style="list-style-type: none"> <li>✓ Solution Architect and Business Analyst started developing requirements for the implementation of EDR Release 2.0. This includes the initial data sets and services required to be shared with SC-CMS and other court systems.</li> </ul>	Requirements gathering for EDR Release 2.0.
<ul style="list-style-type: none"> <li>✓ The project made a recommendation that a Data Strategy Consultant be hired to provide guidance and direction on all data related issues that INH and other current interdependent projects may encounter.</li> </ul>	Provides guidance and direction on data related issues.
<b>Information Networking Hub (INH) Middleware Project</b>	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> <li>✓ Completed work on the BizTalk framework enhancements.</li> </ul>	Data Exchanges ensure that we meet the customer need of providing accurate data everywhere the courts need it.
<ul style="list-style-type: none"> <li>✓ Completed work on functional specifications for CaseProceedings Add, Update, and Delete.</li> </ul>	
<ul style="list-style-type: none"> <li>✓ Started development of CaseProceedings Add, Update, and Delete data exchanges.</li> </ul>	
<ul style="list-style-type: none"> <li>✓ Completed SQL stored procedures for PersonRelationshipGet and CaseAccountingStatusGet services.</li> </ul>	
<ul style="list-style-type: none"> <li>✓ Continued testing previously completed services using the current QA environment.</li> </ul>	




## Approved JIS Projects Summary

<b>ITG #121 Superior Court Data Exchange</b>	
<b>Activities</b>	<b>Impact/Value</b>
✓ Pierce County has been testing the Docket modifications and Civil Case services.	Support and Maintenance of all SCDX has been fully transitioned to AOC staff.
✓ Twenty three services (11 INC3 and 12 INC4) have been tested, approved, deployed and are available for Pierce County to use in their data exchange implementation.	Support and Maintenance of all SCDX has been fully transitioned to AOC staff.
✓ QA Testing for the remaining 13 Increment 4 web services continues.	Support and Maintenance of all SCDX has been fully transitioned to AOC staff.
<b>ITG #002 Superior Court - Case Management System RFP</b>	
<b>Activities</b>	<b>Impact/Value</b>
✓ Contract negotiations are underway with Tyler Technologies, Inc.	A signed contract.
<b>ITG #045 Appellate Court Enterprise Content Management System (AC-ECMS)</b>	
<b>Activities</b>	<b>Impact/Value</b>
✓ Finalized initial analysis of vendor proposal and sent questions to the Apparent Successful Vendor.	Improve the efficiency of document management for the courts.
✓ Sent response to contract exceptions to Apparent Successful Vendor.	Improve the efficiency of document management for the courts.
✓ Started contract negotiations with the Vendor. There have been several meetings to discuss contract terms and conditions as well as proposal requirements.	Improve the efficiency of document management for the courts.
✓ Completed analysis of AOC server and storage costs relative to the project and received approval to procure.	Improve the efficiency of document management for the courts.
✓ Continued requirements analysis for changes to JIS Link and a new public documents portal.	Improve the efficiency of document management for the courts.
<b>ITG #009 Add Accounting Data to the Data Warehouse</b>	
<b>Activities</b>	<b>Impact/Value</b>
✓ Design requirements for Payment Monitoring Report (PMR).	Provide business requirements for accounting.
✓ Released updated universe to address performance issues.	Provide data for accounting.
✓ Completed analysis for ITG Request #70 for PMR in BOXI.	Provide business requirements for accounting.
✓ Completed Requirements document written for Legal Financial Obligation (LFO) Report to address ITG #70.	Provide business requirements.
✓ Designed, coded, tested and released fix data needed for LFO.	Provide data requirements.
✓ Designed, coded, tested and released fix data needed for PMR.	Provide data requirements.
✓ Rework of tables for collections.	Provide data for accounting reports.
<b>ITG #041 Revised CLJ Computer Records Retention and Destruction Process</b>	
<b>Activities</b>	<b>Impact/Value</b>
✓ May 1 - 31: Continued Restore Case Process of moving archived cases to active status.	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records; reduces work for court employees who no longer have to manually restore cases.
✓ May 1- June 30: Continued more business analysis to obtain full functional requirements detail - including plans for court user/Court Subject Matter Expert outreach for feedback (representatives from District and Municipal Court Management Association (DMCMA), District and Municipal Court Judges' Association (DMCJA) and Misdemeanant Corrections Association (MCA)).	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ May 1 - August 31: Project Team developers prepare to apply current and preliminary new rules to active tables in November (1st Iteration).	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.

<p>✓ May 9 and 31: Worked with John Bell and Judge Wynne to provide support information to the Data Dissemination Committee (DDC) from the ITG 41 Project as they update and revise the DDC Policy.</p>	<p>Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.</p>
<p>✓ May 20: DMCMA Spring Conference 2013 (Chelan) – Project Functional Requirements Outreach/Feedback presentation.</p>	<p>Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.</p>
<p>✓ May 31: DDC Meeting - Policy update complete and being circulated to JISC for approval, then court community and professional associations. The DDC also reaffirmed that data from Seattle Municipal Court (SMC) is not included in this project due to the fact that only a shell of the SMC cases are loaded in JIS.</p>	<p>Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.</p>

## Detailed Status Reports

# Status Update Key

	Green = Progressing as planned.
	Yellow = Changes with moderate impact.
	Red = Severe changes or significant re-work is necessary.

# Initiative Status Reports

## Initiative Reports

Transformation Program Track								
<b>Status Reporting on-hold until project manager assigned.</b>					<b>Reporting Period through NA</b>			
<b>Executive Sponsor(s)</b> Vonnie Diseth, CIO/ISD Director			<b>IT Project Manager:</b> Unassigned					
<b>Business Area Manager:</b> William Cogswell, ISD Associate Director			<b>Consultant/Contracting Firm:</b> N/A					
<b>Description:</b> The ISD Transformation Program places the remaining Transformation Initiatives under a single umbrella. The goals of this approach are to expedite the completion of the Initiatives by reducing redundant administrative overhead, ensure better cohesiveness between Initiatives, and provide a more rational and consistent implementation of the Initiatives.								
<b>Business Benefit:</b>								
<ul style="list-style-type: none"> <li>Prepare ISD processes to support the implementation of Superior Court Case Management System and other COTS.</li> <li>Ensure use of consistent and integrated processes across ISD functional areas to enable the efficient delivery of services.</li> <li>Implement a governance organization and decision making processes to maximize investments and utilization of resources.</li> </ul>								
<b>Business Drivers</b>	Improve Decision Making	X	Improve Information Access	<input type="checkbox"/>	Improve Service or efficiency	X	Manage Risks	X
	Maintain the business	X	Manage the costs	X	Increase organizational capability	X	Regulatory compliance or mandate	<input type="checkbox"/>
<b>Current Status</b>	<b>Scope</b>	●	<b>Schedule</b>	●	<b>Budget</b>	●		
<b>Status Notes:</b> <i>The projects are temporarily on-hold due to the re-assignment of the project manager.</i>								
<b>Progress</b>	<div style="text-align: center;">April - 25%</div>							
<b>Phase</b>	<input type="checkbox"/> Initiate	<input checked="" type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close				
<b>Schedule</b>	<b>Planned Start Date:</b> July 2011				<b>Planned Completion Date:</b> June 2013			
	<b>Actual Start Date:</b> July 2011				<b>Actual Completion:</b> TBD			
<b>Activities Completed</b>				<b>Impact/Value</b>				
✓ Projects are on hold due to reassignment of project manager.				Projects are on hold due to reassignment of project manager.				
<b>Activities Planned</b>				<b>Impact/Value</b>				
° Projects are on hold due to reassignment of project manager.				Project schedule delayed.				

## COTS Preparation Application Program Track

**Status Reporting on-hold until SC-CMS contract executed. Reporting Period through NA**

<b>Executive Sponsor(s)</b> Vonnie Diseth, CIO/ISD Director	<b>IT Project Manager:</b> Sree Sundaram – Application Program 360.704.5521 <a href="mailto:Sree.sundaram@courts.wa.gov">Sree.sundaram@courts.wa.gov</a>
<b>Business Area Manager(s):</b> Dennis Longnecker, Infrastructure Manager Tamra Anderson, Data & Development Manager Michael Keeling, Operations Manager Kumar Yajamanam, Architecture and Strategy Manager William Cogswell, Associate ISD Director Dirk Marler, JSD Director	<b>Consultant/Contracting Firm:</b> N/A

**Description:**  
 The COTS Preparation (COTS-P) Program objective is to prepare the AOC JIS environment to support the future transition to a COTS based suite of applications. The Superior Court Case Management System (SC-CMS) Project is expected to be the first COTS based application to be implemented within the AOC JIS. As the first COTS application, the SC-CMS implementation will validate many of the preparation assumptions for supporting future COTS product implementations.

The implementation of the COTS-P Program has been organized into three (3) specific programs categories of sub-project to facilitate effective and efficient planning, management and reporting. The programs are organized as:

- COTS-P Infrastructure Program (Network, Compute and Storage) of six (6) related sub-projects
- COTS-P Application Program (Data Warehouse and Applications) of six (6) related sub-projects
- COTS-P Business Program (Business and Organizational Processes) of one (1) related sub-projects (closed February 2011)

**The COTS P Application Program:**  
 The purpose of this program is to evaluate and determine the impact of the SC-CMS project on AOC's suite of applications and services; identify any technical changes required; and to design, develop, and implement those changes with minimum impact to AOC customers. Defining the scope of the COTS-P Application Program sub-projects is challenging until the SC-CMS design is known.

The Application Program objectives, in support of the SC-CMS project are to:

- Identify the changes to existing systems and applications which are absolutely essential to support implementation of SC-CMS project.
- Implement the changes to existing systems and applications to align with the implementation milestones of SC-CMS project.
- Change existing systems and applications in such a way that it minimizes the impact to AOC customers and any such impacts are identified, communicated and managed in a timely manner.


**Business Benefit:**  
 The COTS-P Program outcome will provide at the project level, the appropriate analysis, design, documentation, acquisitions and implementation of technology and processes within the JIS environment to support the future strategic plan to transition from in-house application development to COTS based products.

The COTS-P program will validate the current and future state of the Infrastructure, Application and Business environments necessary to:

- Position AOC to support future COTS based application implementations
- Directly support the SC-CMS and INH project implementations
- Assure no planning, acquisition and/or implementation duplicity or gaps occur across related projects and initiatives.

<b>Business Drivers</b>	Improve Decision Making <input type="checkbox"/>	Improve Information Access <input type="checkbox"/>	Improve Service or efficiency <input type="checkbox"/>	Manage Risks <input type="checkbox"/>
	Maintain the business <input checked="" type="checkbox"/>	Manage the costs <input type="checkbox"/>	Increase organizational capability <input type="checkbox"/>	Regulatory compliance or mandate <input type="checkbox"/>



Current Status	Scope	▲	Schedule	▲	Budget	▲
Status Notes: Monthly status reporting for this project is on-hold until a contract is executed with the SC-CMS vendor. The Scope, Schedule, and Budget status indicators are yellow until the contract is executed and COTS-Preparation project scope can be defined in more detail.						
COTS-P Application Program Progress:		April - 73% 				
Phase	<input checked="" type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input type="checkbox"/> Execute	<input type="checkbox"/> Close		
Schedule	Planned Start Date: 1/1/12		Planned Completion Date: 10/12/15			
	Actual Start Date: 1/1/12		Actual Completion: TBD			
Activities Completed			Impact/Value			
✓	Documentation of the existing systems and applications.		Provides understanding of current working environment and enables solution design.			
Activities Planned			Impact/Value			
°	Continue to clarify scope definition and perform initial impact analysis where possible.		Provides understanding of current working environment and enables solution design.			
Milestones Planned and Accomplished						
Milestone	Original Date		Revised Date		Actual Date	
Start Project	1/1/12		1/1/12		1/1/12	
Initiation Phase	8/31/12		10/29/12		10/29/12	
Planning Phase	9/17/12		9/28/12		9/28/12	
Execution Phase	4/30/15		7/15/15			
Execution of sub-projects	1/28/15					
Closeout Project	7/15/15		7/15/15			
End Project	7/15/15		7/15/15			

## COTS Preparation – SC-CMS Disaster Recovery

**Status Reporting on-hold until SC-CMS contract executed.**

**Reporting Period through NA**

### Executive Sponsor(s)

Vonnie Diseth, CIO/ISD Director

### IT Project Manager:

Cindy Palko  
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### Business Area Manager(s):

Dennis Longnecker, Infrastructure Manager  
Tamra Anderson, Data & Development Manager  
Michael Keeling, Operations Manager  
Kumar Yajamanam, Architecture and Strategy Manager  
William Cogswell, Associate ISD Director  
Dirk Marler, JSD Director

### Consultant/Contracting Firm:

N/A

### Description:

The COTS Preparation (COTS-P) Program objective is to prepare the AOC JIS environment to support the future transition to a COTS based suite of applications. The Superior Court Case Management System (SC-CMS) Project is expected to be the first COTS based application to be implemented within the AOC JIS. As the first COTS application, the SC-CMS implementation will validate many of the preparation assumptions for supporting future COTS product implementations.

The implementation of the COTS-P Program has been organized into three (3) specific programs categories of sub-project to facilitate effective and efficient planning, management and reporting. The programs are organized as:

- COTS-P Infrastructure Program (Network, Compute and Storage) of six (6) related sub-projects:
  - P1 – Network Capacity & Performance Analysis Sub-project (*Sub-Project Complete & Closed*)
  - P2 – Compute/Storage SW Licensing Sub-project (*Sub-Project Closed*)
  - P3 – SC-CMS Service Level Agreement Analysis (SLA) Sub-project (*Sub-Project Complete & Closed*)
  - P4 – SC CMS Disaster Recovery Analysis Sub-project
  - P5 – Network Future State Sub-project
  - P6 – Compute/Storage Future State Sub-project
- COTS-P Application Program (Data Warehouse and Applications) of six (6) related sub-projects
- COTS-P Business Program (Business and Organizational Processes) of one (1) related sub-projects (closed February 2011)

The COTS P4 – SC CMS Disaster Recovery Analysis sub-project will:

- Determine COTS product impact on Disaster Recovery policies, plans, procedures and IT infrastructure. (Compliance, business, risk factors).
- Determine what Disaster Recovery changes are required to support future COTS product and SC-CMS implementation.
- Implement recommended Disaster Recovery processes and technology changes to support future COTS products and SC-CMS.

### Business Benefit:

The COTS-P Program outcome will provide at the project level, the appropriate analysis, design, documentation, acquisitions and implementation of technology and processes within the JIS environment to support the future strategic plan to transition from in-house application development to COTS based products.

The COTS-P program will validate the current and future state of the Infrastructure, Application and Business environments necessary to:

- Position AOC to support future COTS based application implementations.
- Directly support the SC-CMS and INH project implementations.
- Assure no planning, acquisition and/or implementation duplicity or gaps occur across related projects and initiatives.

<b>Business Drivers</b>	Improve Decision Making <input type="checkbox"/>	Improve Information Access <input type="checkbox"/>	Improve Service or efficiency X	Manage Risks <input type="checkbox"/>
	Maintain the business <input type="checkbox"/>	Manage the costs <input type="checkbox"/>	Increase organizational capability <input type="checkbox"/>	Regulatory compliance or mandate <input type="checkbox"/>

**Current Status**

**Scope**



**Schedule**



**Budget**



Status Notes:

**COTS-P Infrastructure Program**

**P4 – SC CMS Disaster Recovery Analysis Sub-project**

Monthly status reporting for this project is on-hold until a contract is executed with the SC-CMS vendor. When a contract with an ASV is executed, the Disaster Recovery analysis work relative to SC-CMS will be completed.

NOTE: The COTS-P SCCMS DR Sub-project is not a dependency of SC-CMS and will not impact the SC-CMS implementation schedule. But, this sub-project is dependent on receiving information from SC-CMS for completion.

**COTS-P Network Capacity/Performance Analysis Progress:**

April - 0%

100%

<b>Phase</b>	<input type="checkbox"/> Initiate	<input checked="" type="checkbox"/> Planning	<input type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> 1/2/12	<b>Planned Completion Date:</b> 4/1/13
	<b>Actual Start Date:</b> 1/2/12	<b>Actual Completion:</b> TBD

<b>Activities Completed</b>	<b>Impact/Value</b>
<ul style="list-style-type: none"> <li>✓ Monthly status reporting for this project is on-hold until a contract is executed with the SC-CMS vendor. When a contract with an ASV is executed, the Disaster Recovery analysis work relative to SC-CMS will be completed.</li> </ul>	Provide disaster recovery services to support future COTS product and SC-CMS implementation.

**Milestones Planned and Accomplished**

Milestone	Original Date	Revised Date	Actual Date
Start Project	01/02/12	01/02/12	01/02/12
Initiation Phase	03/16/12	03/16/12	03/16/12
Planning Phase	4/18/12	10/12/12	10/12/12
Start Execution Phase	4/19/12	9/27/12	
Research (Data Collection)	05/7/12	11/2/12	
Evaluation (Data Analysis)	05/21/12	12/4/12	
Recommendation Reports	07/12/12	2/7/13	
Closure Phase	07/26/12	4/1/13	
End Project	07/26/12	4/1/13	

# Information Networking Hub (INH) Enterprise Data Repository (EDR) Project

Reporting Period through May 31, 2013

<b>Executive Sponsor(s)</b> Vonnie Diseth, CIO/ISD Director	<b>IT Project Manager:</b> Dan Belles
<b>Business Area Manager:</b> Tamra Anderson, Data and Development Manager	<b>Consultant/Contracting Firm:</b> N/A

**Description:**  
The Information Networking Hub (INH) has been initiated as one of three separate Project/Program tracks. While the INH is being built to support the implementation of a Superior Court Case Management System (SC-CMS), it is also building a foundation for data exchanges with other COTS packages and local court systems.

The INH is the required future state architecture needed to support information exchanges between the JIS central database (new and existing) and local systems. This project involves a core team of resources with the experience and knowledge of AOC systems, "as is" and the "to be" future state to support building a robust enterprise architecture capable of exchanging messages from disparate systems with one common messaging standard.

The first phases of the INH project began with the development of the Foundation components and Pilot Deployment of two services. Initially, the components of the INH will be developed in a sequencing priority based on the needs of the SC-CMS integration, but will continue to build on meeting the needs for other COTS applications and local systems in the future.

**Business Benefit:**

- Seamless integration of current and future as well as centralized and local applications that provides better customer experience.
- Near real-time information exchanges through "publish-subscribe" mechanisms that facilitates the sharing of data and dramatically reduces duplicate data entry.
- Modern architecture that aligns with latest technology trends to provide flexibility and the ability to deliver new customer requests in a timely manner.
- A centrally managed data repository governed by data standards and quality.
- A centralized security framework that can meet the needs for ensuring data is secure.
- Enhanced customer interfaces to improve productivity, advance decision-making capabilities and aid in access to justice.

<b>Business Drivers</b>	Improve Decision Making <input type="checkbox"/>	Improve Information Access <input checked="" type="checkbox"/>	Improve Service or efficiency <input type="checkbox"/>	Manage Risks <input type="checkbox"/>
	Maintain the business <input type="checkbox"/>	Manage the costs <input type="checkbox"/>	Increase organizational capability <input type="checkbox"/>	Regulatory compliance or mandate <input type="checkbox"/>

<b>Current Status</b>	<b>Scope</b>	●	<b>Schedule</b>	●	<b>Budget</b>	●
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Status Notes:

This past month, the project team completed the review of the database design and has started analyzing the requirements and design for the initial data load and service integration, as part of INH Release 2.0.

An implementation strategy for the Data Governance and Data Quality programs was presented to ISD Leadership.

The project made a recommendation that a Data Strategy Consultant be hired to provide guidance and direction on all data related issues that INH and other current interdependent projects may encounter.



<b>Phase</b>	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> July 2011	<b>Planned Completion Date:</b> 2/6/2014
	<b>Actual Start Date:</b> July 2011	<b>Actual Completion:</b> TBD

Activities Completed		Impact/Value	
✓	Completed the design review sessions with the Database Design Review Team.	Validates EDR design.	
✓	Made a presentation to AOC ISD Leadership Team laying out a strategy for moving the Data Governance/Data Quality Programs forward and the options for acquiring a data quality tool.	Develop business case for Data Quality tools.	
✓	Solution Architect and Business Analyst started developing requirements for the implementation of EDR Release 2.0. This includes the initial data sets and services required to be shared with SC-CMS and other court systems.	Requirements gathering for EDR Release 2.0.	
Activities Planned		Impact/Value	
°	Complete final database design review to incorporate feedback from Database Design Review Team sessions.	Validates EDR design.	
°	Complete draft Statement of Work for a Data Strategy Consultant to provide strategic guidance on implementing the EDR.	Plan the procurement.	
Milestones Planned and Accomplished			
Milestone	Original Date	Revised Date	Actual Date
Start Project	1/26/12	1/26/12	1/26/12
Physical Data Design	7/20/12	7/20/12	7/20/12
Logical Modeling	7/20/12	7/20/12	7/20/12
Conceptual Modeling	7/13/12	7/13/12	7/13/12
Conceptual Solution Design	6/21/12	6/21/12	6/21/12
Review Data Model	10/1/12	10/1/12	10/1/12
Iteration 2	9/6/12	9/6/12	9/6/12
System Implementation	10/2/12	10/2/12	10/2/12
Iteration 3	9/6/12	9/6/12	9/6/12
Iteration 1	9/7/12	9/7/12	9/7/12
04-Design	6/7/12	6/7/12	6/7/12
03-Requirements	6/6/12	6/6/12	6/6/12
Update Data Model	10/17/12	10/17/12	10/17/12
End Project	12/19/14	2/6/14	

# Information Networking Hub (INH) Middleware Project

Reporting Period through May 31, 2013

<b>Executive Sponsor(s)</b> Vonnie Diseth, CIO/ISD Director	<b>IT Project Manager:</b> Dan Belles
<b>Business Area Manager:</b> Tamra Anderson, Data and Development Manager	<b>Consultant/Contracting Firm:</b> N/A

**Description:**  
The Information Networking Hub (INH) has been initiated as one of three separate Project/Program tracks. While the INH is being built to support the implementation of a Superior Court Case Management System (SC-CMS), it is also building a foundation for data exchanges with other COTS packages and local court systems.

The INH is the required future state architecture needed to support information exchanges between the JIS central database (new and existing) and local systems. This project involves a core team of resources with the experience and knowledge of AOC systems, "as is" and the "to be" future state to support the building a robust enterprise architecture capable of exchanging messages from disparate systems with one common messaging standard.

The first phases of the INH project begin with the development of the Foundation components and Pilot Deployment of two services. Initially, the components of the INH will be developed in a sequencing priority based on the needs of the SC-CMS integration, but will continue to build on meeting the needs for other COTS applications and local systems in the future.

- Business Benefit:**
- Seamless integration of current and future as well as centralized and local applications that provides better customer experience
  - Near real-time information exchanges through "publish-subscribe" mechanisms that facilitates the sharing of data and dramatically reduces duplicate data entry
  - Modern architecture that aligns with latest technology trends to provide flexibility and the ability to deliver new customer requests in a timely manner
  - A centrally managed data repository governed by data standards and quality
  - A centralized security framework that can meet the needs for ensuring data is secure
  - Enhanced customer interfaces to improve productivity, advance decision-making capabilities and aid in access to justice

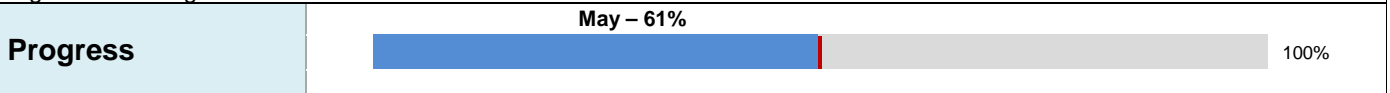
<b>Business Drivers</b>	Improve Decision Making <input type="checkbox"/>	Improve Information Access <input checked="" type="checkbox"/>	Improve Service or efficiency <input type="checkbox"/>	Manage Risks <input type="checkbox"/>
	Maintain the business <input type="checkbox"/>	Manage the costs <input type="checkbox"/>	Increase organizational capability <input type="checkbox"/>	Regulatory compliance or mandate <input type="checkbox"/>

<b>Current Status</b>	<b>Scope</b>	●	<b>Schedule</b>	●	<b>Budget</b>	●
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Status Notes:

During the month of May, the team made good progress designing and developing INH services and making improvements to the BizTalk application. Overall, we are about 75% complete with services development.

Progress was made testing using the current QA environment. The new Q-UAT environment is expected to be ready the first week in June. This will allow us to deploy the INH services and BizTalk framework for the final round of functional and regression testing.



<b>Phase</b>	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> January 2012	<b>Planned Completion Date:</b> 4/22/2014
	<b>Actual Start Date:</b> January 2012	<b>Actual Completion:</b> TBD

Activities Completed		Impact/Value	
✓	Completed work on the BizTalk framework enhancements.	Provides INH data exchanges.	
✓	Completed work on functional specifications for CaseProceedings Add, Update, and Delete.	Provides INH data exchanges.	
✓	Started development of CaseProceedings Add, Update, and Delete data exchanges.	Provides INH data exchanges.	
✓	Completed SQL stored procedures for PersonRelationshipGet and CaseAccountingStatusGet services.	Provides INH data exchanges.	
✓	Continued testing previously completed services using the current QA environment.	Provides INH data exchanges.	
Activities Planned		Impact/Value	
◦	Continue work on the business and technical analysis documentation for next set of INH services.	Provides business requirements for technical specifications that can be developed to.	
◦	Continue work on IEPD transformation documents for remaining services.	Provides business requirements for technical specifications that can be developed to.	
◦	Continue work on SQL stored procedures and BizTalk framework enhancements.	Provides INH data exchanges that can be tested and deployed to QA.	
◦	Deploy at least 8 completed services and 3 re-factored services to Q-UAT and begin functional and regression testing.	Provides INH data exchanges that can be tested and deployed to QA.	
Milestones Planned and Accomplished			
Milestone	Original Date	Revised Date	Actual Date
Start Project	1/1/12	1/1/12	1/1/12
Service 12 – Case Orders Get	10/9/12	10/9/12	10/9/12
Service 6 – Case Get	11/8/12	11/8/12	11/8/12
Service 2 – Person Get	9/20/12	9/20/12	9/20/12
INH-001.050 – PersonOrderProtectionGet	1/16/13	1/16/13	
Service 5 – Case Proceedings Add/Update	10/12/12	10/12/12	10/12/12
Service 4 – Juvenile Reference Update	10/12/12	10/12/12	10/12/12
Service 3 – Protection Orders Add/Update	9/27/12	9/27/12	9/27/12
Service 2 – Juvenile Add/Update	9/14/12	9/14/12	9/14/12
Service B1 – Person Get	9/14/12	9/14/12	9/14/12
Service A1 – ADR Get	9/14/12	9/14/12	9/14/12
Service Development	10/15/12	10/15/12	10/15/12
Platform Updates	1/18/13	1/18/13	1/18/13
Service B2 – DOL DL Person Search	10/3/12	9/20/13	
End Project	9/13/13	4/22/14	

## Approved Project Status Reports

ITG #121 Superior Court Data Exchange								
Reporting Period Through May 31, 2013								
<b>Executive Sponsor(s)</b> Data Management Steering Committee <i>Rich Johnson, Committee Chair</i>			<b>IT Project Manager:</b> Michael Walsh (360) 705-5245 <a href="mailto:Michael.walsh@courts.wa.gov">Michael.walsh@courts.wa.gov</a>					
<b>Business Manager:</b> Tamra Anderson, Data and Development Manager			<b>Consultant/Contracting Firm:</b> Sierra/CodeSmart					
<b>Description:</b> The Superior Court Data Exchange project will deploy a Data Exchange that will enable all local court Case Management Systems to access the Superior Court Management Information System (SCOMIS) services via a web interface using a standard web messaging format. The project scope consists of deploying (66) web services that will be available to all local court Case Management Systems.								
<b>Business Benefit:</b> The Data Exchange will eliminate redundant data entry, improve data accuracy, provide real-time information for decision making and reduce support costs through a common technical solution for sharing data. At the end of Phase I (Detailed Analysis and Design), AOC will have a complete list of business requirements driven by the customer groups and established a list of services based on these requirements. At the end of Phase II (Implementation), Superior Court data will be available for both query and updates using the nationally recognized NIEM standard and SOA.								
<b>Business Drivers</b>	Improve Decision Making	X	Improve Information Access	X	Improve Service or efficiency	X	Manage Risks	<input type="checkbox"/>
	Maintain the business	<input type="checkbox"/>	Manage the costs	X	Increase organizational capability	X	Regulatory compliance or mandate	<input type="checkbox"/>
<b>Current Status</b>	<b>Scope</b>	▲	<b>Schedule</b>	▲	<b>Budget</b>	●		
<p>Status Notes:</p> <ul style="list-style-type: none"> <li><b>Increment 1</b> (14 web services) – Production implementation completed August 29, 2012.</li> <li><b>Increment 2</b> (19 web services) - QA testing team fully staffed and engaged in testing activities. Increment 2 QA testing on schedule per revised schedule. QA testing is scheduled to finish November 12, 2012.</li> <li><b>Increment 3</b> (12 web services) - All increment 3 web services delivered by vendor and checked by AOC. Test harness has been implemented.</li> <li><b>Increment 4</b> (25 web services) - 12 web services by Sierra &amp; 13 web services by AOC. Sierra increment 4 phase plan delivered. First web services family (2 data exchanges) delivered. Contractor delivery is on schedule. AOC Staff web service delivery is on schedule.</li> </ul> <p>Pierce County has spent a considerable amount of time this month testing the Add Docket and Civil Case services. Most testing is going well however, there is a test scenario where the Pierce County is encountering an unexpected duplicate docket entry condition. The issue is serious enough that Pierce has called off the scheduled June 3rd startup. The AOC and Pierce County teams will meet next week to discuss possible resolution options, and determine a course of action.</p> <p>Progress on the web services QA testing has slowed due to resource availability issues. The yellow status indicators indicate that this situation is being closely watched.</p> <p>The AOC Operations staff has assigned a new resource to the Java team The new resource is ramping up and will be increasing their support activities in the coming months.</p>								
<b>Progress</b>	<div style="text-align: right; margin-bottom: 5px;">May – 93%</div> <div style="border: 1px solid black; width: 100%; height: 20px; position: relative;"> <div style="background-color: #4f81bd; width: 93%;"></div> <div style="position: absolute; right: 0; top: 0; bottom: 0; width: 7%; background-color: #ccc;"></div> </div> <div style="text-align: right; margin-top: 5px;">100%</div>							
<b>Phase</b>	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close				
<b>Schedule SCDX</b>	<b>Original Start Date:</b> 1/2/2011			<b>Original Completion Date:</b> 7/1/2012				
	<b>Planned Start Date:</b> 1/2/2011			<b>Planned Completion Date:</b> 9/16/2013				
	<b>Actual Start Date:</b> 1/2/2011			<b>Actual Completion Date:</b>				



<b>Schedule Increment 1</b>	<b>Original Start Date:</b> 8/29/2011	<b>Original Completion Date:</b> 1/31/2012	
	<b>Planned Start Date:</b> 8/29/2011	<b>Planned Completion Date:</b> 8/29/2012	
	<b>Actual Start Date:</b> 8/29/2011	<b>Actual Completion Date:</b> 8/29/2012	
<b>Schedule Increment 2</b>	<b>Original Start Date:</b> 1/2/2012	<b>Original Completion Date:</b> 3/30/2012	
	<b>Planned Start Date:</b> 2/1/2012	<b>Planned Completion Date:</b> 11/16/2012	
	<b>Actual Start Date:</b> 2/1/2012	<b>Actual Completion Date:</b>	
<b>Schedule Increment 3</b>	<b>Original Start Date:</b> 6/12/2012	<b>Original Completion Date:</b> 11/2/2012	
	<b>Planned Start Date:</b> 6/12/2012	<b>Planned Completion Date:</b> 12/21/2012	
	<b>Actual Start Date:</b> 6/12/2012	<b>Actual Completion Date:</b>	
<b>Schedule Increment 4</b>	<b>Original Start Date:</b> 6/12/2012	<b>Original Completion Date:</b> 2/8/2013	
	<b>Planned Start Date:</b> 8/1/2012	<b>Planned Completion Date:</b> 7/26/2013	
	<b>Actual Start Date:</b> 8/1/2012	<b>Actual Completion Date:</b>	
<b>Activities Completed</b>		<b>Impact/Value</b>	
✓ Pierce County has been testing the Docket modifications and Civil Case services.	Support and Maintenance of all SCDX has been fully transitioned to AOC staff.		
✓ Twenty three services (11 INC3 and 12 INC4) have been tested, approved, deployed and are available for Pierce County to use in their data exchange implementation.	Support and Maintenance of all SCDX has been fully transitioned to AOC staff.		
✓ QA Testing for the remaining 13 Increment 4 web services continues.	Support and Maintenance of all SCDX has been fully transitioned to AOC staff.		
<b>Activities Planned</b>		<b>Impact/Value</b>	
◦ Complete initial QA testing the remaining Increment 4 Web Services.	Staying on target to deploy all 66 web services by July 2013.		
◦ Continue to support Pierce County with their on-boarding activities.	This correction will get Pierce back on track for using SCDX services.		
<b>Milestones Planned and Accomplished</b>			
<b>Milestone</b>	<b>Original Date</b>	<b>Revised Date</b>	<b>Actual Date</b>
Start Project	8/27/10		
Superior Court Data Exchange (SCDX) Project	5/28/13	7/26/13	
Develop SCDX Project Documentation		6/24/13	
Increment 2 QA Acceptance Testing		1/18/13	1/18/13
Production Web Services: Perform AOC QA Testing		5/11/13	
Release 3 QA Triage, Defect, and Regression Testing (INC2)		2/25/13	3/8/13
Release 4 QA Triage, Defect, and Regression Testing (INC3)		4/24/13	
Release 4A Docket Services Sequence Modification		3/29/13	
Release 5 QA Triage, Defect, and Regression Testing (INC4)		4/30/13	
Release 6 QA Triage, Defect, and Regression Testing		5/22/13	
Release 7 QA Triage, Defect, and Regression Testing		7/11/13	
SCDX Production Increment 1 Complete		5/14/12	5/14/12
Develop SCDX Project Documentation (Business Capability Requirements)	8/23/12	10/11/12	10/11/12
End Project	5/28/13	9/4/13	

# ITG #002 Superior Court Case Management System (SC-CMS) RFP

Status Reporting on-hold until SC-CMS contract executed. Reporting Period through NA

<b>Executive Sponsor(s)</b> <i>Judge Craig Matheson, President</i> Superior Court Judges Association (SCJA)  <i>Betty Gould, President</i> Washington State Association of County Clerks (WSACC)  <i>Jeff Amram, President</i> Association of Washington Superior Court Administrators (AWSCA)	<b>IT Project Manager:</b> Maribeth Sapinosa, PMP  <b>IT Deputy Project Manager:</b> Keith Curry  <b>Consultant/Contracting Firm:</b> MTG (Management Technology Group) Bluecrane, Inc. Rich Wyde, Special Assistant Attorney General  <b>Business Manager</b> Vonnie Diseth, AOC- CIO/ISD Director Dirk Marler, AOC-JSD Director
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**Description:** The Superior Court Case Management System (SC-CMS) Project is intended to procure and implement a software application that will enable the AOC to support the business functions of state superior courts and county clerks by acquiring and deploying a Superior Court Case Management System to all 39 Superior Courts in the state. The SC-CMS will specifically support calendaring and case flow management functions, along with participant/party information tracking, case records and relevant disposition services functions in support of judicial decision-making, scheduling, and case management.

**Business Benefits:** The Superior Court Case Management (SC-CMS) will define requirements for and procure a case management system that (1) is consistent with the business and strategic plans approved by the JISC; (2) follows the JISC guidelines and priorities for IT decision making; (3) modernizes AOC technology; (4) works within planned technology architecture; (5) supports improvements in superior court operations; and (6) provides the opportunity and incentives to retire legacy systems such as SCOMIS.

<b>Business Drivers</b>	Improve Decision Making <input type="checkbox"/>	Improve Information Access <input type="checkbox"/>	Improve Service or efficiency <input checked="" type="checkbox"/>	Manage Risks <input type="checkbox"/>
	Maintain the business <input type="checkbox"/>	Manage the costs <input type="checkbox"/>	Increase organizational capability <input type="checkbox"/>	Regulatory compliance or mandate <input type="checkbox"/>

<b>Current Status</b>	<b>Scope</b>	▲	<b>Schedule</b>	▲	<b>Budget</b>	▲
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Status Notes:

This project is currently in Phase I, RFP Development and System Acquisition. The planned and completed activities listed in this report are intended to support the following deliverables to support this phase or to support upcoming phases for this project:

- Plan and implement the procurement of a contractor to develop the Request for Proposal (RFP with an accompanying evaluation process and evaluation criteria for a new case management system.
- Complete processes and agreements required with the Attorney General's Office (AGO) to obtain the services of a Special Assistant Attorney General with expertise in negotiating contracts for the acquisition of complex information technology systems.
- Plan, implement and procure a contract for an independent and external QA Professional.
- Develop the necessary business and technical requirements to be included in the RFP.
- Collaborate with the SC-CMS Project RFP Steering Committee to oversee the RFP development, acquisition process, review the past work performance of Vendors via on-site visits and contract finalization.

Contract negotiations are continuing. Monthly status reporting is on-hold until a contract is signed with Tyler Technologies, Inc. An SC-CMS testing lab is being set up in AOC building two on the second floor.



<b>Project Phase</b>	<input type="checkbox"/> Initiate	<input checked="" type="checkbox"/> Planning	<input type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> September 2011	<b>Planned Completion Date:</b> September 2018
	<b>Actual Start Date:</b> September 2011	<b>Actual Completion Date:</b> TBD

Activities Completed		Impact/Value	
✓ AOC's primary contract negotiation team met with the Tyler Technology, Inc. (Tyler) legal team on April 23-25, 2013 to discuss the terms and conditions of the SC-CMS contract.		A signed contract.	
Activities Planned		Impact/Value	
✓ Contract negotiations are expected to continue through May 2013. AOC is planning one more face-to-face meeting with Tyler in late May.		A signed contract.	
Milestones Planned and Accomplished			
Milestone	Original Date	Revised Date	Actual Date or Status
Independent QA Begins	3/1/2012	3/12/2012	3/21/2012
Acquisition Plan Finalized	3/16/2012	4/30/2012	5/15/2012
Initial Draft of RFP Finalized	3/22/2012	5/25/2012	3/27/2012
RFP Steering Committee Approves RFP Final Draft	4/8/2012	5/29/2012	6/5/2012
JISC Begin Review of RFP	4/19/2012	6/6/2012	JISC RFP Briefings: Jun 13 or Jun 14 9-12pm or 1-4pm
JISC RFP Go/No Go Decision	3/2/2012	6/22/2012	GO 6/22/2012
RFP Published	4/19/2012	6/22/2012	6/22/2012
Response Evaluations Completed	9/14/2012	9/14/2012	9/14/2012
Vendor Demos Completed	10/19/2012	10/19/2012	10/19/2012
Onsite Visits Completed	12/7/2012	12/7/2012	12/7/12
Contract Negotiations Begin	4/23/2013	4/23/2013	4/23/2013
Selected Vendor Begins	5/17/2013	5/17/2013	
PHASE 1 COMPLETE	5/17/2013	5/17/2013	

# ITG #045 Appellate Courts Enterprise Content Management System (AC-ECMS)

Reporting Period through May 31, 2013

<b>Executive Sponsor(s)</b> Appellate Courts Executive Steering Committee Justice Debra Stephens, Committee Chair Vonnie Diseth, CIO/ISD Director	<b>IT Project Manager:</b> Martin Kravik (360) 704-4148 Martin.Kravik@courts.wa.gov
	<b>Consultant/Contracting Firm:</b> N/A
	<b>Business Area Manager</b> Vonnie Diseth, AOC- CIO/ISD Director

**Description:** The Appellate Courts Enterprise Content Management System (ECMS) project will implement a common ECMS for the Appellate Courts (Courts of Appeal and Supreme Court) that will support the following:

- Replace ACORDS
- Provide a web interface for external Court users and public
- Support eFiling of Court documents
- Implement an automated workflow for processing Court documents.

The JISC has requested a review of ECMS Vendor costs prior to awarding a contract to an EDMS Vendor.

**Business Benefits:** The project will implement an Appellate Courts ECMS that will improve the efficiency of document management for the courts. To achieve this objective, all Appellate Courts need to use the same ECM application. Some of the benefits that will be gained are:

- Reduce the need and cost of converting paper documents to electronic documents
- Reduce the cost of storing hard copy official court documents
- Reduce the time of receiving documents through mail or personal delivery
- Reduce the misfiling of documents
- Eliminate staff time for duplicate data entry
- Reduce document distribution costs (mail, UPS, FedEx)
- Ability for cross court sharing/viewing of documents
- Reduce the time/cost of compiling documents since they will be digitally stored and will be searchable.

<b>Business Drivers</b>	Improve Decision Making <input checked="" type="checkbox"/>	Improve Information Access <input checked="" type="checkbox"/>	Improve Service or efficiency <input checked="" type="checkbox"/>	Manage Risks <input type="checkbox"/>
	Maintain the business <input type="checkbox"/>	Manage the costs <input checked="" type="checkbox"/>	Increase organizational capability <input checked="" type="checkbox"/>	Regulatory compliance or mandate <input type="checkbox"/>

<b>Current Status</b>	<b>Scope</b>	●	<b>Schedule</b>	◆	<b>Budget</b>	●
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**Status Notes:**  
The schedule status indicator remains red due to past resource constraints and changes in the project approach.



<b>Project Phase</b>	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> Aug 2011	<b>Planned Completion Date:</b> July 22, 2014
	<b>Actual Start Date:</b> Aug 2011	<b>Actual Completion Date:</b> TBD

Activities Completed	Impact/Value
✓ Finalized initial analysis of vendor proposal and sent questions to the Apparent Successful Vendor.	Improve the efficiency of document management for the courts.
✓ Sent response to contract exceptions to Apparent Successful Vendor.	Improve the efficiency of document management for the courts.
✓ Started contract negotiations with the Vendor. There have been several meetings to discuss contract terms and conditions as well as proposal requirements.	Improve the efficiency of document management for the courts.

✓ Completed analysis of AOC server and storage costs relative to the project and received approval to procure.	Improve the efficiency of document management for the courts.
✓ Continued requirements analysis for changes to JIS Link and a new public documents portal.	Improve the efficiency of document management for the courts.
<b>Activities Planned</b>	<b>Impact/Value</b>
◦ Continue contract negotiations.	Improve the efficiency of document management for the courts.
◦ Periodically meet with the project Executive Steering Committee to brief them on the negotiations and get approval on individual contractual items.	Improve the efficiency of document management for the courts.
◦ Continue requirements analysis for changes to JIS Link and a new public documents portal.	Improve the efficiency of document management for the courts.

**Milestones Planned and Accomplished**

Milestone	Original Date	Revised Date	Actual Date
Start Project	8/15/11		8/15/11
Contract negotiations		5/24/13	
AC-ECMS Web Portal Requirements		12/7/12	12/7/12
AC-ECMS Procurement Documents		3/20/13	3/20/13
AC-ECMS Technical Requirements		8/3/12	8/3/12
AC-ECMS Business Requirements		9/12/12	9/12/12
End of Project	6/22/12	7/22/14	

# ITG #009 Add Accounting Data to the Data Warehouse

Reporting Period through May 31, 2013

**Executive Sponsor(s)**  
 Rich Johnson, Chair, Data Management Steering Committee  
 Vonnie Diseth, CIO/ISD Director

**IT Project Manager:**  
 Business Manager is providing backup

**Consultant/Contracting Firm:**  
 N/A

**Business Manager**  
 Tamra Anderson, Data and Development Manager

**Description:** This project is a result of the approval and prioritization of [IT Governance request 009 \(ITG 09\)](#). This request identified eleven reports that are either unworkable in the mainframe format or are new reports to be created.

**Business Benefits:** These reports will give the courts better tracking of accounting information, better budget and revenue forecasting, new or improved audit and operational reports, and the ability to answer accounting inquiries from other agencies.

This is a multi-court level request, bringing value to both the Superior Courts and to the Courts of Limited Jurisdiction.

<b>Business Drivers</b>	Improve Decision Making	X	Improve Information Access	X	Improve Service or efficiency	X	Manage Risks	X
	Maintain the business	X	Manage the costs	X	Increase organizational capability	X	Regulatory compliance or mandate	<input type="checkbox"/>

<b>Current Status</b>	<b>Scope</b>	●	<b>Schedule</b>	●	<b>Budget</b>	●
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**Status Notes:**

The project remains on schedule and within budget. The planned completion date for this project is July 2013.



<b>Project Phase</b>	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> August 2011	<b>Planned Completion Date:</b> July 2013
	<b>Actual Start Date:</b> August 2011	<b>Actual Completion Date:</b> TBD

Activities Completed	Impact/Value
✓ Completed technical design for Payment Monitoring Report (PMR).	Provide business requirements for accounting.
✓ Released updated universe to address performance issues.	Provide data for accounting.
✓ Completed analysis for ITG Request #70 for PMR in BOXI.	Provide business requirements for accounting.
✓ Completed Requirements document written for Legal Financial Obligation (LFO) Report to address ITG #70.	Provide business requirements.
✓ Designed, coded, tested and released fix data needed for LFO.	Provide data requirements.
✓ Designed, coded, tested and released fix data needed for PMR.	Provide data requirements.
✓ Rework of tables for collections.	Provide data for accounting reports.

Additional Comments		
Project Deliverable	Release Date	Release Status
Cases with A/Rs Paid-in-Full - Excluding Trust	12/20/2011	Report completed
Cases with finding date and A/Rs in "potential" status	2/21/2012	Report completed
A/R Detail Report	4/17/2012	Report completed
A/R Summary Report	6/19/2012	Report completed
Monthly interest accruals	7/17/2012	Report completed

Universe Technical Fix (no new reports to courts)	8/27/2012	Report completed
Remittance Summary	9/18/2012	Report completed
Cases with A/Rs Paid-in-Full - add trust without bond	10/16/2012	Report completed
Last AR Payment	1/15/2013	New report request for project. Completed.
Case/Person Financial Summary(CFH)	1/15/2013	Report Completed
CFH Report - AR Detail	1/15/2013	Report Completed
Cases with A/Rs Paid-in-Full - expand trust with bond	2/26/2013	Report Completed
CFH Report - Disbursements	3/19/2013	Report Completed
Parking Due Report	3/19/2013	New report request for project. Completed.
CFH Report - Adjustments	4/19/2013	Report Completed
CFH Report - Receipts	4/19/2013	Report Completed
*Security for universe (Case Type security)	4/19/2013	Report Completed
Collection reports for parking cases	N/A	Removed as a project deliverable
Universe Technical Fix (no new reports to courts)	6/4/2013	Report completed
Legal Financial Obligation (LFO) Report	N/A	May satisfy ITG #70 Scheduled for workgroup review June 2013
Collection case information		Scheduled for release June 2013
A/R balance by type, A/R and payment aging (TPSE)		Scheduled for release July 2013
PMR: Detail/Summary aged ARs		Scheduled for release July 2013
PMR: Detail/Summary assigned to collections		Scheduled for release July 2013

New Priority List

Priority		Report Name	Court Level
Current	New		
7	1	Cases with A/Rs Paid-in-Full - add trust to report without bond	Both
6	2	Remittance Summary	Both
14	3	Case Financial History Report – received and ordered	Both
n/a	4	*Trust Summary Report – <i>Disbursements and Receipts (was out of scope)</i>	Both
n/a	5	*Trust Summary Report – <i>Bail/Bond and Restitution (was out of scope)</i>	Both
7	6	Cases with A/Rs Paid-in-Full - add trust to report with bond	Both
9	8	Collection case information	Both
8	9	A/R balance by type, A/R and payment aging (TPSE)	Both
11	10	Legal Financial Obligation (LFO) Report	SC only
12	11	PMR: Detail/Summary aged ARs	Both
13	12	PMR: Detail/Summary assigned to collections	Both

Legend: \* Requirement added during requirements gathering process

# ITG #041 Revised CLJ Computer Records Retention and Destruction Project

Reporting Period through May 31, 2013

**Executive Sponsor(s)**  
*Judge Thomas Wynne, Chair*  
 JISC Data Dissemination Committee (DDC)

*Judge Tripp, President*  
 District and Municipal Court Judges Association (DCMJA)

*LaTrisha Kinlow, President*  
 District and Municipal Court Management Association (DMCMA)

**IT Project Manager:**  
 Kate Kruller, MBA, PMP  
 IT Project Manager  
 360 704 5503 (o)  
 360 956 5700 (f)  
 Kate.Kruller@courts.wa.gov

**Business Area Manager:**  
 Mike Keeling, Operations Manager

**Consultant/Contracting Firm: N/A**

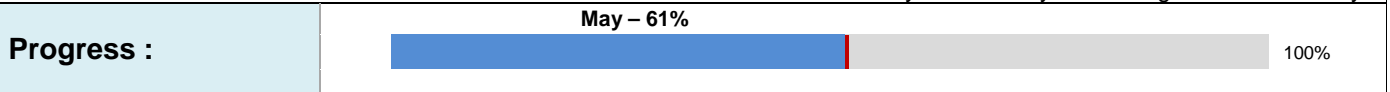
**Description:** The ITG 41 Project objectives are to eliminate all JIS archiving for the Courts of Limited Jurisdiction (CLJ) cases and apply new destruction rules to the CLJ JIS cases according to the revised policy set by the Data Dissemination Committee. The current activity is to return archived records to the active database (i.e. no records will remain in archive). This will pave the way to implement the new rules. At the conclusion of this project, all JIS CLJ records will be retained according to the revised policy.

**Business Benefit:** Purging these records would remove their visibility from the public website. Removal of the archiving requirement will eliminate the option for court staff to restore archive records. This request was generated based on the JISC adopting the recommendations of the JISC Public Case Search Workgroup on August 18th, 2010. The work detailed in this request will fulfill Recommendation #3 from the report.

<b>Business Drivers</b>	Improve Decision Making <input type="checkbox"/>	Improve Information Access <input type="checkbox"/>	Improve Service or efficiency <input type="checkbox"/>	Manage Risks <input type="checkbox"/>
	Maintain the business <input type="checkbox"/>	Manage the costs <input type="checkbox"/>	Increase organizational capability <input type="checkbox"/>	Regulatory compliance or mandate <input checked="" type="checkbox"/>

<b>Current Status</b>	<b>Scope</b>	●	<b>Schedule</b>	◆	<b>Budget</b>	●
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Status Note: Project Team continues with the Restore Case Process (restoring archived cases to active status. There are under 1 million case files remaining to be processed. Cases are restored progressively from 2012 backwards in descending order. The schedule status indicator is set to red as a caution that situations that may cause delays are being watched carefully.



<b>Project Phase</b>	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close
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<b>Schedule</b>	<b>Planned Start Date:</b> Current effort: April 23, 2012	<b>Planned Completion Date:</b> July 3, 2014
	<b>Actual Start Date:</b> April 23, 2012	<b>Actual Completion Date:</b> TBD

Activities Completed	Impact/Value
✓ May 1 - 31: Continued Restore Case Process of moving archived cases to active status.	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ May 1- June 30: Continued more business analysis to obtain full functional requirements detail - including plans for court user/Court Subject Matter Expert outreach for feedback (representatives from District and Municipal Court Management Association (DMCMA), District and Municipal Court Judges' Association (DMCJA) and Misdemeanant Corrections Association (MCA)).	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ May1 - August 31: Project Team developers prepare to apply current and preliminary new rules to active tables in November (1st Iteration).	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.



✓ May 9 and 31: Worked with John Bell and Judge Wynne to provide support information to the Data Dissemination Committee (DDC) from the ITG 41 Project as they update and revise the DDC Policy.	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ May 20: DMCMA Spring Conference 2013 (Chelan) – Project Functional Requirements Outreach/Feedback presentation.	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ May 31: DDC Meeting - Policy update complete and being circulated to JISC for approval, then court community and professional associations. The DDC also reaffirmed that data from Seattle Municipal Court (SMC) is not included in this project due to the fact that only a shell of the SMC cases are loaded in JIS.	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.

Activities Planned	Impact/Value
◦ June 1 – 30: Continue Restore Case Process.	Restoring Cases from Archive.
◦ June 1 – 30: Business analysis support to developers coding functional requirements detail. Confirm Judge's flag option already in the requirements. Set it to turn on and off as needed.	Requirements Gathering (All rules).
◦ June 1 – August 31: Project Team developers prepare to apply current and preliminary new rules to active tables in November (1 <sup>st</sup> iteration).	Re-coding the System Active Database (Current and Preliminary rules).

Milestones Planned and Accomplished			
Milestone	Original Date	Revised Date	Actual Date
Start Project	8/1/11	8/1/11	8/1/11
Develop Technical Design/Produce Non-Functional Requirements Document	3/12/13	4/11/13	4/11/13
Deploy Iteration 1 to Production	11/13/13	11/13/13	
Approval of Non-Functional Requirements by AOC Management (Restore Process)	10/7/13	10/7/13	
Develop & Validate Code – Iteration 2 All New Rules	2/14/14	2/14/14	
Deploy Iteration 2 to Production	5/22/14	5/22/14	
Development complete	5/22/14	5/22/14	
Phase V – New Process Acceptance/On-going Planning	7/3/14	7/3/14	
Phase VI – Project Close Completed	7/3/14	7/3/14	
End Project	7/3/14	7/3/14	

# ISD Operational Area Status Reports

## ISD Operational Area Reports

### Operational Area: ISD Policy and Planning

William Cogswell, ISD Associate Director

Through May 31, 2013

*Includes: Governance, IT Portfolio, Clarity support, Business Relationships, Service Delivery, Vendor Relations, Resource Management, Release Management and Organizational Change / Communications teams*

**Description:** The ISD Policy and Planning group is responsible for providing strategic level functions within ISD. AOC ISD Policy and Planning teams support division-wide transition activities furthering the capabilities and maturities of the entire organization.

Activities Completed	Impact/Value
<b>Portfolio Coordinator/Service Delivery</b>	
✓ Coordinated IT Governance (ITG) requests through the ITG process – see May IT Governance Status Report.	The IT Governance process provides visibility and transparency of IT investments throughout the court community.
✓ Produced the May IT Governance Status Report, monthly IT Project Portfolio Report and the Quarterly Portfolio Snapshot Report.	The IT Governance and Portfolio Management processes provide visibility and transparency of IT investments throughout the court community.
<b>Release/Change Management</b>	
✓ Participated in weekly Network Operations meeting.	Track future changes to AOC Applications & Services in Production Environment for potential impact and conflict resolution.
✓ Represent AOC at DES Information Technology Service Management (ITSM) Software Vendor Demonstrations.	Evaluation of ITMS Software products which are touting support to ITIL processes in alignment with Release Management which may increase efficiency in Release & Deployment Management.
✓ Assisted Operations Manager, WEB Team Lead, and Vendor Relations Coordinator in providing subject matter in support of Security RFQQ.	Develop Security RFQQ encompassing baseline of technical details which align with AOC's short term and strategic goals for IT Security.
✓ Developed draft Data Security Policy and CYBER Defense Brief Presentation.	Support AOC's short term and strategic goals for IT Security.
✓ Crisis action planning support to AOC Director, CIO, & ISD OPS Manager for Security Breach Press Release.	Mitigate potential or perceived negative reputation attributed to Data Breach.
✓ Participated in WA State LEAN Practitioner's Community of Practice meeting.	Represent AOC interest in supporting GOV Inslee's LEAN efforts. "Governor directed agencies throughout state government to use Lean principles and methods to improve value for taxpayers' money. Washington state is on a long-term journey to adapt Lean to state government."
<b>Organizational Change Management</b>	
✓ Rolled out Resource Coordination process to all ISD on May 2 <sup>nd</sup> .	Defines a conversation for coordinating assignment of resources to project work.
✓ Participating in the AOC Rules of Engagement workgroup.	Develop rules to define how AOC staff interacts with each other.
<b>Resource Coordinator</b>	
✓ Attended preliminary meeting to discuss the schedule for the Clarity upgrade project.	Upgrade to Clarity Version 13.2
✓ The Clarity Team met with the Deputy Director to discuss and brainstorm options for revising ISD's approach for Application support time reporting.	Provides the ability to determine the ongoing cost of operation for applications. Supports resource capacity planning & usage. Provides the ability to determine the amount of time accrued on application support tasks and simplifies time reporting for staff.
✓ Met with Data & Development Manager to update Core and Core Task allocations.	Data cleanup efforts will result in more accurate information in Clarity to prepare for staff roll out of the Weekly Planners.
✓ Updated Clarity to extend Core and Admin project finish dates and Estimate-To-Complete balances to align with the new biennium ending 6/30/15.	Staff would not be able to report time to Core and Admin "Out of Office" after 6/30/13 or if ETC balances were exhausted.
<b>Business Liaison</b>	

✓ Worked with the project team, Steering Committee, other stakeholders, and AOC staff on the Computer Records Retention and Destruction project.	Ensuring that customers are involved in the process and informed about the project, that their perspective is heard and their business needs are considered.
✓ Worked with the project team, Steering Committee, other stakeholders, and AOC staff on the Plain Paper/Comments Line on Warrants project.	Ensuring that customers are involved in the process and informed about the project, that their perspective is heard and their business needs are considered.
✓ Coordinated the stakeholder input process for customers on ISD projects.	Direct customer input on IT projects helps ensure a successful project outcome.
✓ Staffed CLJ, superior, and multiple court level IT governance groups.	Assisting IT governance groups with the process enhances their ability to focus on decision making.
✓ Assisted customers and AOC staff with troubleshooting customer issues that arise.	Assisting customers with issues builds relationships and customer confidence in AOC and ISD.
✓ Continued participation in ECMS project meetings.	Delivers a product that will meet the Court of Appeal's business needs.
✓ Participated in the Restore SCOMIS Cases Project Team meeting. Completed the Restore SCOMIS Cases Project's Communication Plan, including the creation of several templates to be used for communicating with the counties and a log to be used to document contacts.	The project's Communication Plan clearly defines who will be making contact on behalf of the project, what the message will be, when contact will be made, and how communication will be delivered.
✓ Finalized DMSC documents for the Data and Development Manager's presentation to the DMSC Chair.	As part of the Transformation Project, AOC has incorporated process and service changes into normal operating procedures. Some of these changes overlap with the previous roles and responsibilities of the DMSC. Proposed roles and responsibilities will be presented to the DMSC for their review and approval to ensure that an appropriate court data governance structure is in place.
✓ Completed the Operating Level Agreement (OLA) for the creation and maintenance of the Chronological Sentencing Reform Act (SRA), between ISD and COA Division II. It was approved and signed by both COA Division II and ISD representatives.	The OLA clearly defines both AOC's and Division II's roles and responsibilities related to the Chronological SRA.
<b>Vendor Relations</b>	
✓ Continued to be sole source of contact with ASV for SC-CMS for coordination and planning of contract negotiations.	Retain requirement of RFP Coordinator as sole point of contact with Vendor for SC-CMS RFP—from RFP publication date through completion of contract negotiations and execution.
✓ Finalized and published Request for Qualifications and Quotations (RFQQ) for IT Security Review and Compliance Audit ( <i>High Priority for AOC</i> ).	Establish and implement ISD acquisition standards; Mitigate project risk through Vendor communications.
✓ Provided procurement support and guidance to INH team regarding acquisition requirements for Informatica software and services required for implementation of the INH Enterprise Data Repository (EDR).	Provide guidance to leverage agency's current contracted software goods and services for fulfillment of INH DQ and EDR needs.
✓ Provided support during contract negotiations to SC-CMS RFP legal team.	Retain fidelity of acquisition process; support maintenance of 'sole point of contact' for AOC through contract negotiations.
✓ Continued with ASV contracts negotiation in coordination with MSD Contracts for Appellate Courts Enterprise Content Management System (ECMS) RFP.	Proactively review Vendor proposal and project documentation to develop a strategy for contract negotiations between AOC Contract Manager and ASV; negotiation a fair and equitable contract with ASV while reducing AOC and project risks.
<b>Activities Planned</b>	
<b>Impact/Value</b>	
<b>Portfolio Coordinator/Service Delivery</b>	
◦ Coordinate ITG requests through the ITG process.	The IT Governance process provides visibility, transparency and an investment selection method for new IT requests across the court community.
◦ Prepare monthly portfolio management reports.	The IT Portfolio process provides visibility, research and information on current and planned IT investments.
◦ Continue building information into the software tools portfolio.	Visibility of software tools will inform planning, purchasing and cost management decisions.
<b>Release/Change Management</b>	
◦ Continued participation in weekly Network Operations Meetings.	Track future changes to AOC Applications & Services in Production Environment for potential impact and conflict resolution.
◦ Develop Release Calendar.	Provide Leadership Team & Stakeholders visibility on ISD Software Releases in Production Environment.

◦ Continue development of automated Release Notes Process.	Increased efficiency & reduced process time in support of Software Release Notes for external customer consumption.
◦ SDLC Tool Evaluation.	Continued evaluation of Release Tool which may increase efficiency in Release & Deployment Management processes.
◦ Assist Portfolio Coordinator in developing a proposal to incorporate Software Tools into the IT Portfolio.	Deliver a single, up-to-date, and easily accessible list of Software Tools and related information to inform decision making.
◦ Continue to assist Operations Manager, WEB Team Lead, and Vendor Relations Coordinator in providing subject matter in support of Security RFQQ process.	Develop Security RFQQ encompassing baseline of technical details which align with AOC's short term and strategic goals for IT Security.
◦ Assist Portfolio Coordinator in developing a proposal to incorporate time reporting for application support in the IT Portfolio.	Ability to determine the ongoing cost of operation for an application and support resource capacity planning and usage.
<b>Organizational Change Management</b>	
◦ Begin ISD Policy Review/Development meetings.	Establish policies, standards, procedures, and guidelines that provide structure for the way work gets done in ISD.
◦ Participate in the AOC Rules of Engagement workgroup.	Develop rules to define how AOC staff interacts with each other.
◦ Continue Organizational Change Management (OCM) work with projects and process improvement efforts.	Ensure strategies and actions are planned to manage the people side of change.
<b>Clarity Administrator</b>	
◦ (June/July 2014) AOC Investment Resource Requisition - Create a custom to initiate and process a request for resources for an ISD investment (project or application). - Develop the workflow to automate notification	Formalizes resourcing requests. Do so will enable ISD leadership to better understand where their staff is needed and the ability to meet those needs.
◦ (July 2013) Implement the ISD Project Invoice process - Provide ISD Staff training - Develop custom support for contract invoice process data collection and work flow.	Provides a way to retain invoice data for ISD investments (applications and projects). Automates the workflow required to process an invoice from the time it is received by the Vendor Relations Coordinator until it is finally approved by the ISD CIO or delegated authority.
◦ (June/July 2013) Clarity V13 – Implementation. Begin efforts to implement the latest version of Clarity - We have support from infrastructure. - Will delay implementation until version 13.2 is release which is expected end of May 2013.	V13.1 provides a much improved user interface. V13.2 provides a new solution pack of 50+ reports and several management dashboards. V13.2 has a full rewrite of portfolio management.
<b>Resource Coordinator</b>	
◦ Provide Resource Management overview to the CIO, Infrastructure Manager and Operations Manager during the Weekly Planner Training.	Communicate the benefits of a successfully implemented resource management process to the CIO and Functional Managers and discuss management's expectations.
◦ Continue to work with the Functional Managers to review and update Core allocations and Core tasks assignments in Clarity.	Data cleanup efforts will result in more accurate information in Clarity to prepare for staff roll out of the Weekly Planners.
◦ Work with Portfolio Coordinator to update investment finish dates, review and update allocations for staff that support active applications.	Staff would not be able to report time spent supporting mission critical applications after 6/30/13.
◦ Draft a Resource Management Policy for ISD Leadership.	Provides guidance to ISD employees to define resource management according to Leadership Team's expectations.
<b>Business Liaison</b>	
◦ Continue to coordinate the stakeholder input process for customers on ISD projects.	Direct customer input on IT projects helps ensure a successful project outcome.
◦ Provide updates and reports to associations and other stakeholder groups on IT activities relating to courts of limited jurisdiction.	Direct communication and interaction with broader customer groups increases their understanding of ISD services and activities, and builds trust in AOC.
◦ Continue monitoring progress and provided input on ISD projects on behalf of customer groups.	Communicating customer perspective on ISD projects helps ensure that system changes meet customer needs.
◦ Continue staffing CLJ and multiple court level IT governance groups.	Assisting IT governance groups with the process enhances their ability to focus on decision making.
◦ Continue to assist customers and AOC staff with troubleshooting customer issues that arise.	Assisting customers with issues builds relationships and customer confidence in AOC and ISD.

<ul style="list-style-type: none"> <li>◦ Continue to participate in the Restore SCOMIS Cases Project Team meetings; participate in communication with County Clerks, Court Administrators, and identified Technical Leads according to the project's Communication Plan.</li> </ul>	Remind key stakeholders when their court is scheduled to have SCOMIS case data restored. Minimizes surprises and ensures that both AOC and the courts are prepared for the restoration.
<ul style="list-style-type: none"> <li>◦ Continued participation on ECMS project and in project meetings.</li> </ul>	Provides support to the project and project manager, as needed, to help the project meet its goals and objectives.
<ul style="list-style-type: none"> <li>◦ Participate in meetings to identify and review Lessons Learned from initial internal pilot.</li> </ul>	Reduces the amount of time required to draft, review, and approve a release note. Contains release note information in one area and is available for all AOC to review it.
<b>Vendor Relations</b>	
<ul style="list-style-type: none"> <li>◦ Prepare draft for revised Request for Qualifications and Quotations for IT Security Review and Compliance Audit (<i>High Priority for AOC</i>).</li> </ul>	Establish and implement ISD acquisition standards; Mitigate project risk through Vendor communications.
<ul style="list-style-type: none"> <li>◦ Continue to provide support during contract negotiations to SC-CMS RFP legal team.</li> </ul>	Retain fidelity of acquisition process; support maintenance of 'sole point of contact' for AOC through contract negotiations.
<ul style="list-style-type: none"> <li>◦ Continue to work with Appellate Court Project Management and MSD Contracts on developing strategies during pre-planning sessions for contract negotiations.</li> </ul>	Proactively review Vendor proposal and project documentation to develop a strategy for contract negotiations between AOC Contract Manager and ASV.
<ul style="list-style-type: none"> <li>◦ Continue with ASV contracts negotiation in coordination with MSD Contracts for Appellate Courts Enterprise Content Management System (ECMS) RFP.</li> </ul>	Provide expertise in IT Contract Negotiations to establish a fair and equitable contract between parties; reduce risk to AOC through cooperative coordination with AOC Contracts.
<ul style="list-style-type: none"> <li>◦ Prepare draft Request for Qualifications and Quotations for ISD Data Strategy Consultant.</li> </ul>	Establish and implement ISD acquisition standards; Mitigate project risk through Vendor communications; Utilize team coordination for use of subject matter experts within ISD.

## Operational Area: Architecture & Strategy

Kumar Yajamanam, Architecture & Strategy Manager

Through May 31, 2013

*Includes: Enterprise Architecture, Solutions Management and Business Analysis*

**Description:** Architecture & Strategy is a group within ISD that is responsible for providing strategic technology guidance in support of all services provided by ISD. The functions provided by the group include enterprise architecture, solution management, service catalog development, vendor management, enterprise security and business continuity planning.

Activities Completed	Impact/Value
<ul style="list-style-type: none"> <li>✓ ITG-158 - revised request for development of two mental-health screening tools (MAYSI-2 and the MH-JDAT) electronically on an AOC server: Following submission of a third version of the request, coordinated effort by internal technical team to re-strategize this as a small development effort.</li> </ul>	<p>Implementation of two mental-health screening tools on an AOC server (together with real-time scoring, data storage, and reporting) would provide a central and secure method for juvenile courts to determine the mental-health needs of the youth they detain.</p>
<ul style="list-style-type: none"> <li>✓ Vehicle-Related Violations (VRV) On-boarding: Continue to improve the on-boarding process and on-board additional courts. Assisted Kirkland in changing servers. Working to on-board Lake Forest Park.</li> </ul>	<p>Improve the rate at which courts are on-boarded so they can utilize the benefits of the VRV data exchange.</p>
<ul style="list-style-type: none"> <li>✓ Court Users Work Group (CUWG): During May, reviewed and provided feedback to "as is" process models drafted by the Court Business Office (CBO). Additionally, reviewed and revised a draft security model that establishes roles relative to JIS Baseline Services.</li> </ul>	<p>The Court Users Workgroup (CUWG) serves as the governing body for Court Business Office (CBO) initiatives to optimize, standardize, and continuously improve court business process in conjunction with implementation of a new Superior Court case-management system (CMS).</p>
<ul style="list-style-type: none"> <li>✓ Standards for Local CMS (case-management system) Data Systems: Completed Draft and distributed for internal AOC review and comment.</li> </ul>	<p>A Standard for Local Data Systems will provide guidance to all courts on what data needs to be exchanged with the AOC central database if they adopt a local non-JIS case-management system. Internal AOC review is needed prior to review and comment by external stakeholders.</p>
<ul style="list-style-type: none"> <li>✓ Enterprise Data Repository (EDR): Completed the EDR internal design review. Updating the design based on comments from subject matter experts improves the design by considering all perspectives.</li> </ul>	<p>Design-review comments from AOC ISD staff provide a 360-degree assessment of the EDR for supporting existing data-sharing needs.</p>
Activities Planned	Business Value
<ul style="list-style-type: none"> <li>◦ The next meeting of the Court Users Workgroup (CUWG) will be held June 12-13.</li> </ul>	<p>The Court Users Workgroup (CUWG) serves as the governing body for Court Business Office (CBO) initiatives to optimize, standardize, and continuously improve court business process in conjunction with implementation of a new Superior Court CMS.</p>
<ul style="list-style-type: none"> <li>◦ ITG 41 - CLJ Revised Computer Records Retention and Destruction: Finalized the DRAFT business-requirements document. It is being shared with stakeholders to obtain approval. Work with developers and testers, as needed.</li> </ul>	<p>The business-requirements document is intended to ensure that the requirements meet the business need.</p>
<ul style="list-style-type: none"> <li>◦ ITG 58-37-79 - CLJ Plain-Paper Warrant: Requirements for the plain paper format, data, and selection screen are being finalized. Working with developers and testers as needed.</li> </ul>	<p>Requirements documentation ensures that the business needs are met.</p>
<ul style="list-style-type: none"> <li>◦ Researched two eTicket disposition bugs: [1] Wrong court is being sent in ticket disposition to the Department of Licensing (DOL), [2] Deferred Findings are not being sent to DOL correctly. Currently analyzing how to correct affected cases as well as how to fix the problem.</li> </ul>	<p>Correcting these bugs will ensure accuracy of data sent to partner agencies.</p>
<ul style="list-style-type: none"> <li>◦ Automate Release-Notes Process: Assist Release Manager and SharePoint developer with understanding release note process and determining how it can be automated.</li> </ul>	<p>Automating release notes will provide for a more efficient, accurate process.</p>

<ul style="list-style-type: none"> <li>◦ ITG-158 - revised request for development of two mental-health screening tools (MAYSI-2 and the MH-JDAT) electronically on an AOC server: A non-functional prototype will be developed to facilitate stabilization of the requirements.</li> </ul>	<p>Implementation of two mental-health screening tools on an AOC server (together with real-time scoring, data storage, and reporting) would provide a central and secure method for juvenile courts to determine the mental-health needs of the youth they detain.</p>
<ul style="list-style-type: none"> <li>◦ Enterprise Strategies: Initiated collaborative architectural planning for next 12-18 months.</li> </ul>	<p>Identification of the enterprise strategies which will best serve information-technology efforts in the next 12-18 months will lay crucial groundwork via standards, policies, services, and products that will help make ISD project solutions successful.</p>
<ul style="list-style-type: none"> <li>◦ ITG-181 - Kitsap SmartBench Export: [1] Working with customers to understand the business needs and requirements. [2] Working with AOC ISD staff to look into solution or solution options, and address various issues, concerns for solution options.</li> </ul>	<p>This effort promotes sharing of data between AOC and the courts in a more efficient way.</p>
<ul style="list-style-type: none"> <li>◦ ITG 45 - AC EDMS (Appellate Courts - Electronic Data Management System) Portal: Working on business rules and requirements.</li> </ul>	<p>The COA and the Supreme Court require immediate action to develop and implement a web portal to facilitate electronic filing and an EDM system to support sharing documents across all four courts, indexing, storage, retrieval, and searching of documents, and an integrated workflow and correspondence module to improve productivity and efficiency in the processing of cases.</p>
<ul style="list-style-type: none"> <li>◦ Refine definition and fit of Information Network Hub (INH) services in preparation for SC-CMS implementation.</li> </ul>	<p>Iterative refinement will reduce rework and retrofit of services to SC-CMS needs/requirements.</p>
<ul style="list-style-type: none"> <li>◦ Standards for Local CMS Data Systems: Incorporate AOC review comments and produce version 1.0 for distribution to external stakeholders. Coordinate with business liaisons and ISD data-management group to get external stakeholder review process and schedule completed.</li> </ul>	<p>Review and comment by external stakeholders is important to get viewpoints addressed.</p>
<ul style="list-style-type: none"> <li>◦ Update the Enterprise Architecture Development (ADM) Roadmap.</li> </ul>	<p>The Enterprise Architecture Development Roadmap provides guidance for communicating the EA goals and objectives and what activities will be performed in the next 12 -18 months.</p>
<ul style="list-style-type: none"> <li>◦ Work started to rationalize the Enterprise Data Repository (EDR) against the JIS Function and Sub-Functions.</li> </ul>	<p>This effort will drive priorities and dependencies in the EDR implementation.</p>



# Operational Area: Infrastructure

Dennis Longnecker, Infrastructure Manager

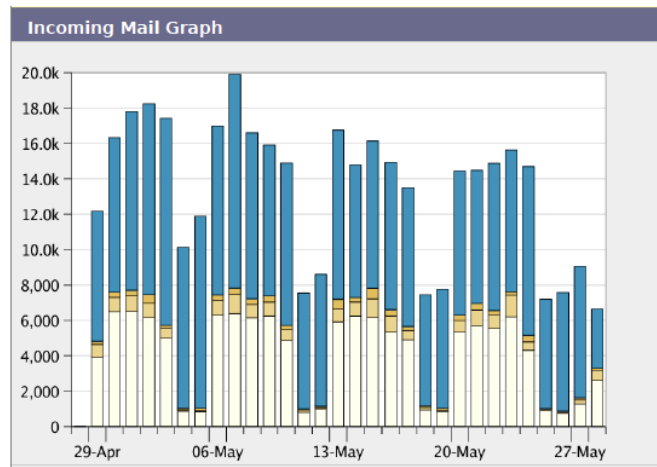
Through May 31, 2013

Includes: Desktop Unit, Network Unit, Server Unit, Support Unit & System Database Unit

**Description:** AOC ISD operates and supports the computer related operational needs of the AOC, Temple of Justice, and Court of Appeals, along with the Judicial Information System (JIS) applications, the Judicial Receipting System (JRS), Superior Court Information System (SCOMIS), Juvenile and Corrections System (JCS), Appellate Court System (ACORDS), JIS Calendaring (CAPS), e-Ticketing and web services, and applications. The infrastructure team in ISD supports the servers (hardware and operating systems) that run all the necessary software applications. Although existing user systems are dated, the systems they run on are current and state of the art. Having a state of the art infrastructure and a team dedicated to maintaining it ensures that the courts and partners throughout Washington State have access to the JIS systems, the data is secure and that downtime for system users is minimized.

Activities Completed	Impact/Value
✓ Building and setting expectations for the next JIS Disaster Recovery test.	Disaster Recovery is a JIS activity which ensures the JIS systems would be available in the event of a disaster (either localized or large).
✓ Completed the following Software/Hardware updates: <ul style="list-style-type: none"> <li>• Router at Division 1</li> <li>• VMware ESX 5.1</li> <li>• Data Studio 3.2</li> <li>• AssetWin 2013</li> </ul>	Maintaining current and supported software levels ensures users are able to continue to work.
✓ Waiting for testing of Natural 8.2.3 so we can migrate to production. Current version is unsupported by the vendor, and the JIS systems are put at risk not upgrading to supported versions.	Maintaining current and supported software levels ensures users are able to continue to work.
✓ Waiting for testing of z/OS 1.13 operating system so we can migrate to production. Current version is unsupported by the vendor, and the JIS systems are put at risk not upgrading to supported versions.	Maintaining current and supported software levels ensures users are able to continue to work.

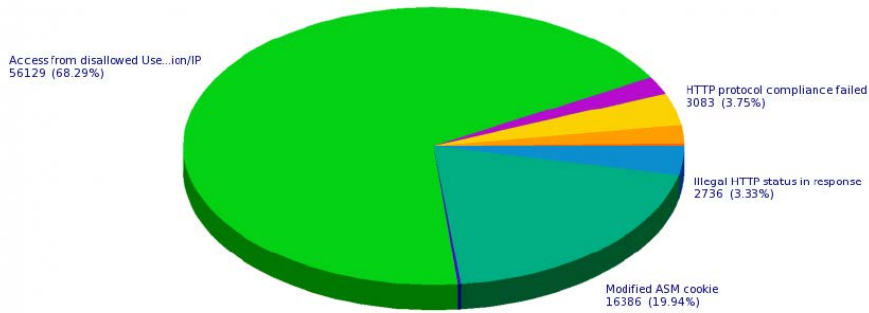
During the month of May 2013: Spam Filtering prevented 275,600 e-mails from entering the system. Only 124,600 e-mails were valid. Virus protection stopped 12,259 viruses/malware from entering the network, cleaned up 27 viruses, and 24 potentially unwanted applications (PUA).



Incoming Mail Summary		
Message Category	%	Messages
Stopped by Reputation Filtering	62.7%	250,883
Stopped as Invalid Recipients	0.0%	52
Spam Detected	1.8%	7,242
Virus Detected	0.0%	3
Stopped by Content Filter	4.4%	17,415
<b>Total Threat Messages:</b>	<b>68.9%</b>	<b>275,595</b>
Clean Messages	31.1%	124,642
<b>Total Attempted Messages:</b>		<b>400,237</b>

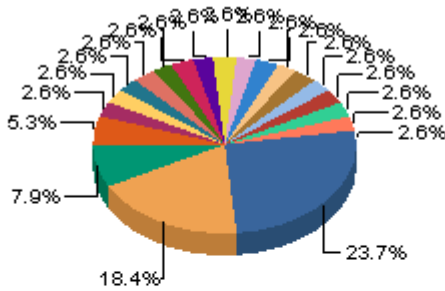
Web Access Firewall installed and operational. Blocking illegal traffic.

Illegal Transactions per Violation



SECURITY REPORT

Virus's prevented by AOC filters

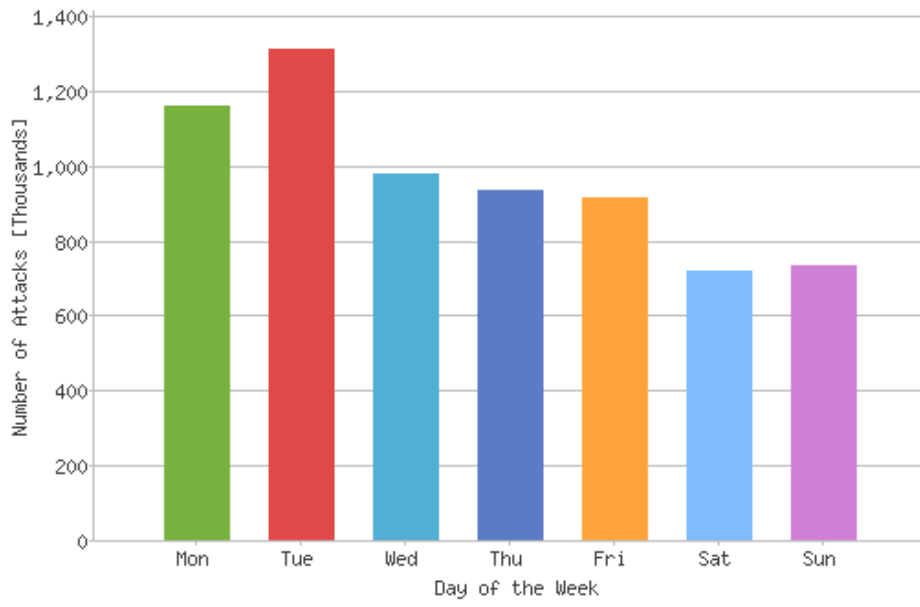


Virus Prevention and Detection:

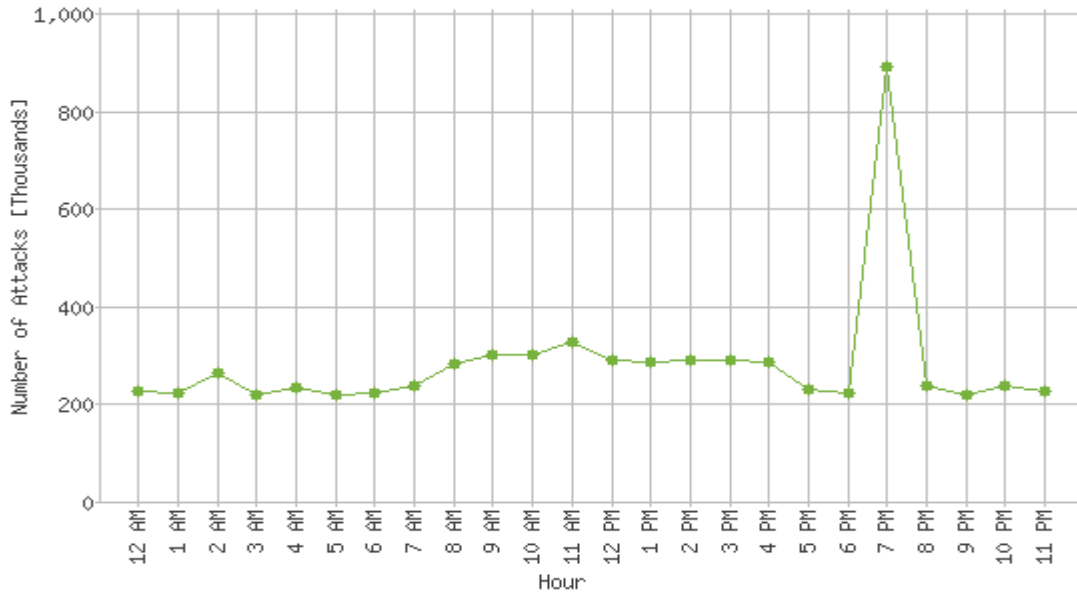
Total items detected on your networked computers

Viruses/spyware	44
Adware/PUA	9
Suspicious files/behavior	3
Blocked by firewall	18148

### Security Attacks by Day of the Week



### Security Attacks by Hour of the Day



Activities Planned	Impact/Value
<ul style="list-style-type: none"> <li>Complete analysis of the March 2013 Disaster Recovery activities and correct any issues.</li> </ul>	Disaster Recovery is a JIS activity which ensures the JIS systems would be available in the event of a disaster (either localized or large).
<ul style="list-style-type: none"> <li>Continue Hardware/Software/Firmware Upgrades on system components.</li> </ul>	Maintaining current and supported software levels ensures users are able to continue to work.
<ul style="list-style-type: none"> <li>Continue work on FY13 Equipment Replacement. Waiting on responses from the courts.</li> </ul>	Replace aged (5 year old) equipment with new hardware and operating systems.
<ul style="list-style-type: none"> <li>Waiting for testing of Natural 8.2.4 so we can migrate to production. Current version is unsupported by the vendor, and the JIS systems are put at risk not upgrading to supported versions.</li> </ul>	Current Version of Natural is unsupported by the vendor.
<ul style="list-style-type: none"> <li>Waiting for testing of z/OS 1.13 Upgrade so we can migrate to production. Current version is unsupported by the vendor, and the JIS systems are put at risk not upgrading to supported versions.</li> </ul>	Maintaining current and supported software levels ensures users are able to continue to work.
<ul style="list-style-type: none"> <li>Continue work on MS Exchange Upgrade Planning</li> </ul>	Maintaining current and supported software levels ensures users are able to continue to work.

## Operational Area: Data & Development

Tamra Anderson, Data & Development Manager

Through May 31, 2013

Includes: Data Warehouse Unit, Development Unit, Data Quality and Governance, & Database Unit

**Description:** The Data & Development Section is comprised of four separate units:

**Data Warehouse:** The enterprise data warehouse is a repository of historical information that allows courts to query data for managerial and historical reporting. Case and person data is consolidated from SCOMIS, JIS, ACORDS, and JCS for reporting across all court levels. Court specific data marts provide users the ability to query information by specific court level. The information in the warehouse is accessed using a query tool called Business Objects XI (AKA BOXI). The ability to run queries and reports on historical information on court data provides business intelligence and insight into patterns, trends, issues and gaps in that data that can be used for research analysis, improvement of business functions, risk assessment and other business needs. Reports from the enterprise data warehouse can be run on demand or scheduled on a preset basis and the output can be sent to the desktop, or sent to an email address or a file folder making the information easy to share and obtain.

**Data Exchange/Development:** The development team is tasked with staffing active projects. They complete requirements analysis, design specifications, service development, unit testing, and implementation to production of new application components. Work performed by the Development Unit is reported separately under the project(s) to which the staff is currently assigned.

**Data Quality and Governance:** Data maintained by business applications is viewed as an enterprise asset. In addition to supporting business operations, data is used to support strategic decisions and business process improvements. Data Governance will ensure data is complete, accurate, and timely so the Courts can improve decision making through the Data Quality Program. Data quality management exercises the defined governance processes, policies, and standards required throughout the data life cycle which will result in increased accuracy, consistency, and confidence in the enterprise data within the Washington State Courts System.

Activities Completed	Impact/Value
<b>Data Warehouse Unit</b>	
✓ Design documents for Payment Monitoring Report (PMR).	Provide business requirements for accounting.
✓ Release Case Financial History Adjustment Detail Report	Provide business requirements for accounting.
✓ Release Case Financial History Receipting Detail Report.	Provide business requirements for accounting.
✓ Release accounting universe with security.	Provide business requirements.
✓ Rework of tables for collections, disbursements, and receipting.	Provide data for accounting reports.
✓ Committee approval of Approval of Collection Report.	Provide business requirements.
✓ Designed, coded, and tested data needed for destroyed and expunged participants.	Provide data requirements.
✓ Designed, coded, tested and released fix data needed to show '(**DECEASED**)' to end of actor names where date of death greater than current date.	This will enable courts to see accounting cases that may be closed due to person being deceased.
✓ Designed, coded, tested and released fix data needed to ensure accounting security works properly.	Provide data requirements.
✓ Completed design work for time pay and payment monitoring.	Provide data requirements.
✓ Designed "Destruction of Records Report" for ITG request 41.	Provide business requirements.
✓ Completed 5 Eservice Request for Legislation.	Provided BOXI solution.
✓ Completed 8 Eservice Request for Data Dissemination.	Provided BOXI solution.
✓ Completed 15 Eservice Request for new or enhanced BOXI reports.	Provided BOXI solution.
✓ Completed 19 Eservice Request for new BOXI users/Security.	Provided BOXI solution.
<b>Data Exchange/Development Unit</b>	
✓ Completed support for QA testing for SCDX Increment 4b services.	Help with completing the QA testing and prepare for Production deployment of SCDX Increment 4b services.
✓ Supported QA testing effort for SCDX Docket services modifications.	Help with completing the QA testing of rest of the SCDX Docket service modifications.
✓ Continue to triage SCDX defect tickets for AOC development team.	Provides assistance to troubleshoot defect causes.

✓ Coordinated with Pierce County to help them ramp up for consuming Case Docket service File Civil case service.	Continue to support Pierce County to go live in Production.
✓ Support Pierce County for resolving issues with respect to Docket changes, as well as to continue support their test effort in QA.	Helps Pierce County to go live in Production with Docket services.
✓ Collaborate and coordinate with Pierce County with their code development and testing with respect to the Docket service modifications and File Civil case service.	Helps Pierce County to go live in Production with Docket and File Civil Case services.
✓ Worked with Pierce County Business Analyst and fielded questions relating to Business functionality impacts of implementing Docket and Civil File services.	Helps Pierce County to go live in Production with Docket and File Civil Case services.
✓ Reviewed INH EDR Design.	Facilitates development effort for INH EDR.
✓ Completed BC and FS for INH GET Referral service.	Facilitate development and testing for this family of INH services.
✓ Collaborate with the INH project to complete the FS and IEPD changes for GET Docket service Change Request.	Provide an improved GET Docket service which is more nimble and works more like a Search service rather than just an Inquiry service.
✓ Collaborated (and continue to collaborate) with the QA team and the AOC Java team in coming up with a plan for acceptance criteria for code deploy from the Dev team to QA team, with respect to QC checks on the product being delivered to QA.	Establishes a level of Quality on the product being delivered to QA by the Dev team, which satisfies the needs of the SCDX project as well as meet the entrance criteria for QA.
✓ Collaborate with the infrastructure and Maintenance group in preparing the new QAT environment to be "application deploy ready" mode.	Helps to create a new environment for the QA testers to perform their testing and isolate the external customers from being exposed to un-tested product in their environment.
<b><u>Data Quality and Governance</u></b>	
✓ Change management of data designs.	Review 28 database design requests related to Accounting Data in Data Warehouse (ITG09), CLJ Archiving (ITG41), INH-Services, Security Upgrades and Data Quality.
✓ Support Data Profiling & Foreign Key Analysis Projects.	Document 3 issues related to data integrity and lower case characters that need deeper analysis and/or cleanup.  Design solution for the referential integrity issues related to the Participant (PAR) table.  Review the draft of the Data Quality Assessment Report.  Participate in resolution of 2 issues related to referential integrity and validation rules.
✓ Final draft of the Data Quality Assessment has been completed and is awaiting final approvals and publishing.	Provides a baseline for the current state of Data quality for all future changes and improvements.
✓ Participate in INH EDR Design Review Process.	Identify possible impacts to the data if changes are made.
✓ Final Draft DMSC Charter has been created and is pending committee review and feedback.	Establish appropriate meeting expectation.
✓ Meet with SC-CMS and INH Technical Team.	Defines roles and responsibilities to support the Data Governance framework.
✓ Engage with INH-SCCMS Technical team to understand scope of data migration effort and data quality impacts to the new CMS.	Coordinate work teams for effective and efficient process development.
✓ New subproject, Foreign Key Analysis Project, developed to focus specifically on INH Services between INH and SCCMS.	To ensure that data being retrieved by services is accurate and not returning additional information that was stored in a table in error due to a system structural issue (for example, "expunged" case information that should not be counted on a report or retrieved in a service).
✓ Research and analyze data related issues.	Document 8 issues related to referential integrity, validation rules, bad data and missing values that need deeper analysis and/or cleanup. Design solution for the referential integrity issue for the Domestic Violence Party (DVP) table.
<b>Activities Planned</b>	
<b>Impact/Value</b>	
<b><u>Data Warehouse Unit</u></b>	
° Design technical requirements for PMR.	Provide technical requirements.
° Continue design for time pay reports.	Provide technical requirements.

◦ Design technical of Time Pay report.	Provide technical requirements.
◦ Review requirements of Time pay report RCM.	Provide technical requirements.
◦ Continue data design for time pay and payment monitoring.	Provide data for requested reports.
◦ Design technical requirements for PMR.	Provide technical requirements.
◦ Continue design for time pay reports.	Provide technical requirements.
◦ Design technical of Time Pay report.	Provide technical requirements.
<b><u>Data Exchange/Development Unit</u></b>	
◦ Continue to support QA testing for SCDX Increment 4b services and Docket services.	Help with completing the QA testing of rest of the SCDX Increments as well as the Docket service modifications.
◦ Deploy all SCDX Increment 4ba services to Production.	When Pierce County goes live in Production with SCDX Increment 1, 2, 3 and 4a and 4b services, it will cause a sizable reduction in the amount of time spent by Pierce County for double data entry. It will also expose all of the three GET services that King county is interested in consuming as a starter.
◦ Deploy the modified GET Docket service to Production.	Enhances the ability for Pierce County to perform searches on Case dockets with various options for search criteria.
◦ Support Pierce County with testing the modified approach for Docket services in relation to issues with Case Status history, as well as File Civil case service for non-well identified participants.	Helps Pierce County to go live in Production with Docket and File Civil Case Services in May or June.
◦ Continue to work with infrastructure, QA and development group to deploy applications to the new QAT environment.	Minimizes the impact for the external client, and have a stable environment for their UA testing.
◦ Continue to collaborate with the QA team and the Java Dev teams to finalize the QC checklist for Java code deployments.	Reduces the impact for QA team from having to take on not-well unit tested code.
◦ Continue supporting Pierce County business unit with questions related to data and service implementation.	Help Pierce County understands the impacts to their Business unit once they go live in Production with web service transactions.
◦ Continue reviewing the Design for INH EDR.	Helps with finalizing the design for EDR.
◦ Complete development and review of Get Accounting Status stored procedure.	Facilitate development of INH Web service for Get Accounting Status.
<b><u>Data Quality and Governance</u></b>	
◦ Support Database Design Review requests.	Change Management of database designs.
◦ Support Data Profiling & Foreign Key Analysis Projects.	Research and Analysis of data related issues.
◦ Facilitate installation of ER/Studio 9.5 in test environment.	Support for DB2 version 10 and SQL Server 2012 constructs.
◦ Continue to meet with Court Education to discuss impact of data quality in regards to PBR project.	Establishes the appropriate threshold for data anomalies/inconsistencies.
◦ Mapping out Data Quality activities for the next year under different conditions (i.e. with tool versus without tool).	To help identify the data quality approach to pursue.
◦ Support Database Design Review requests.	Change Management of database designs.
◦ Data Profiling Project Support.	Research and Analysis of data related issues.

## Operational Area: Operations

Mike Keeling, Operations Manager

Through May 31, 2013

Includes: All application units; Web team, Java team, Legacy team, uniPaaS team, Data Exchange team and SharePoint

**Description:** AOC ISD Operations teams support new projects and the ongoing maintenance of legacy systems including the Judicial Information System (JIS) application, the Judicial Receipting System (JRS), Superior Court Information System (SCOMIS), Juvenile and Corrections System (JCS), Appellate Court System (ACORDS), Judicial Access Browser System (JABS), e-Ticketing, Adult Static Risk Assessment (ASRA), Data Exchanges, SharePoint and Web applications and services.

Activities Completed	Impact/Value
✓ SharePoint 2010 - "AOC SharePoint Standards and Guidelines" drafted and reviewed.	Establishes SharePoint 2010 standards for baseline governance in the new environment.
✓ SharePoint 2010 - site design drafted and reviewed.	Project milestone.
✓ Legacy Maintenance - Work on ITG requests 58/37/69 (Plain Paper Warrants) – Coding and Unit Testing.	Allow courts to print warrant on plain paper, add comments to warrant and increase the size of the bail amount.
✓ Grays Harbor and Jefferson requested a Clerks Dismissal Eligibility report be printed on the first day of the month for case types 2, 3, 4 and 5.	Created clerks dismissal report to run on the first of the month.
✓ Testing and planning for ITG 160 z/OS Upgrade.	Bring current mainframe operating system to supported version.
✓ Web: Continued Security Improvements.	Web Application Firewall configuration. Cleaning up old content. Further encryption of data on the site.
Activities Planned	Impact/Value
◦ DX – Defect fixes of SCDX increment 3 and 4.	Part of SCDX project.
◦ DX – Set up new UAT environment.	To provide separate testing environments for AOC internal use and external customers.
◦ SharePoint 2010 – Complete standards & guidelines document.	Establishes SharePoint 2010 standards for baseline governance in the new environment.
◦ SharePoint 2010 – Complete final draft of design.	Project milestone.
◦ Legacy Maintenance – ITG 41.	Continue restoring archived cases, program changes and testing to enhance records destruction process.
◦ Legacy Maintenance – ITG 58/37/79 – Plain Paper Warrants.	Continue 2 <sup>nd</sup> review of allow district and municipal courts to print warrants to plain paper.
◦ Legacy Maintenance – 2013 Legislative changes.	Continue to identify 2013 leg changes.
◦ Legacy Maintenance – ZOS upgrade.	ZOS mainframe system upgrade.
◦ Web: Continued Security Improvements.	Further encryption of data on the site. Web Application Firewall configuration. Cleaning up old content.





## Contact Information

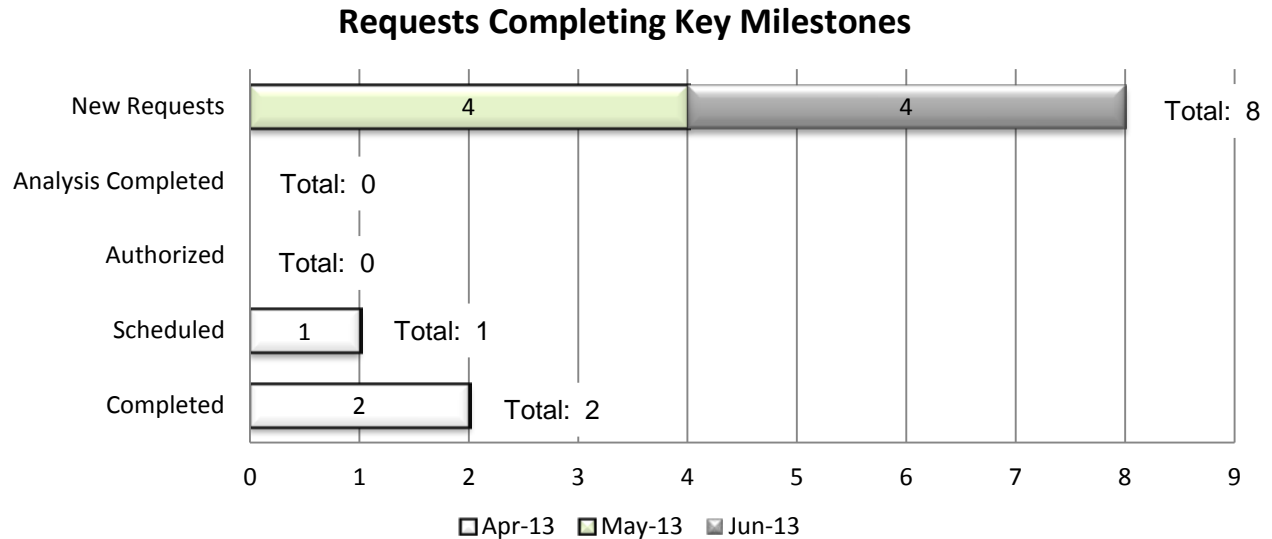
Vonnie Diseth, Director, Information Services Division  
Administrative Office of the Courts  
PO Box 41170  
Olympia, WA 98504-1170  
(360) 705-5236  
[vonnie.diseth@courts.wa.gov](mailto:vonnie.diseth@courts.wa.gov)

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[bill.cogswell@courts.wa.gov](mailto:bill.cogswell@courts.wa.gov)

### Completed JIS IT Governance Requests

No requests were completed during the month of June.

### Status Charts



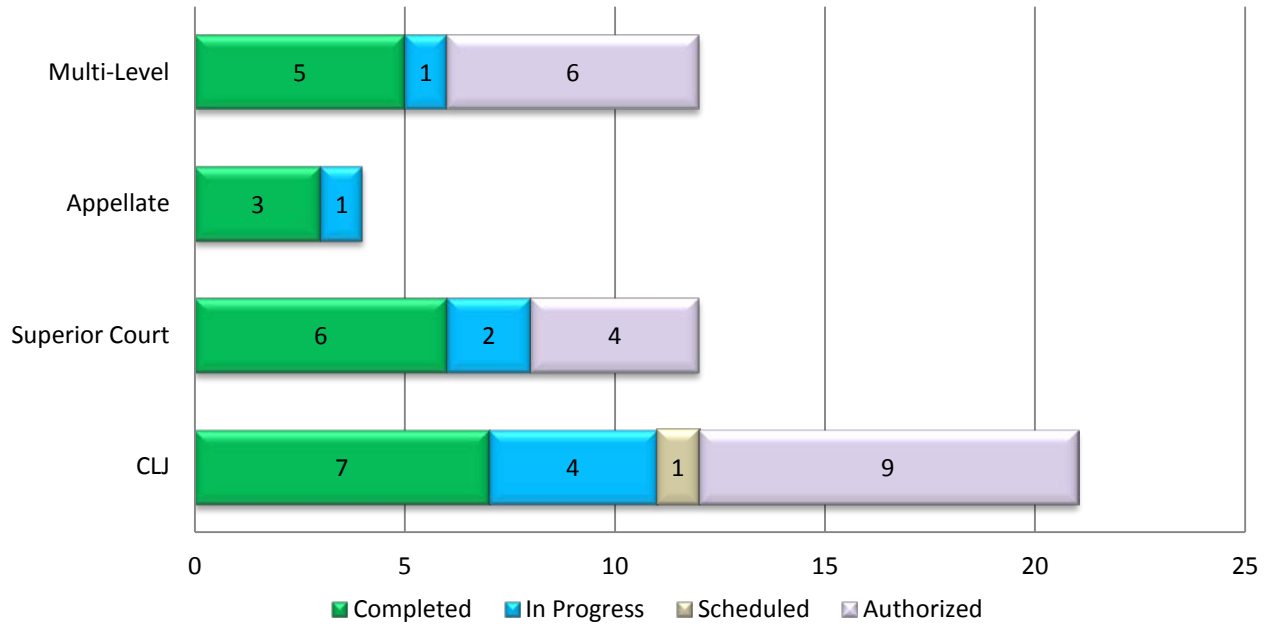
### Current Active Requests by:

Endorsing Group			
<b>Court of Appeals Executive Committee</b>	1	<b>District &amp; Municipal Court Management Association</b>	28
<b>Superior Court Judges Association</b>	3	<b>Data Management Steering Committee</b>	1
<b>Washington State Association of County Clerks</b>	9	<b>Data Dissemination Committee</b>	1
<b>Washington State Association of Juvenile Court Administrators</b>	2	<b>Codes Committee</b>	3
<b>District &amp; Municipal Court Judges Association</b>	4	<b>Administrative Office of the Courts</b>	6
<b>Misdemeanant Corrections Association</b>	1		

Court Level User Group	
<b>Appellate Court</b>	1
<b>Superior Court</b>	10
<b>Courts of Limited Jurisdiction</b>	18
<b>Multi Court Level</b>	9

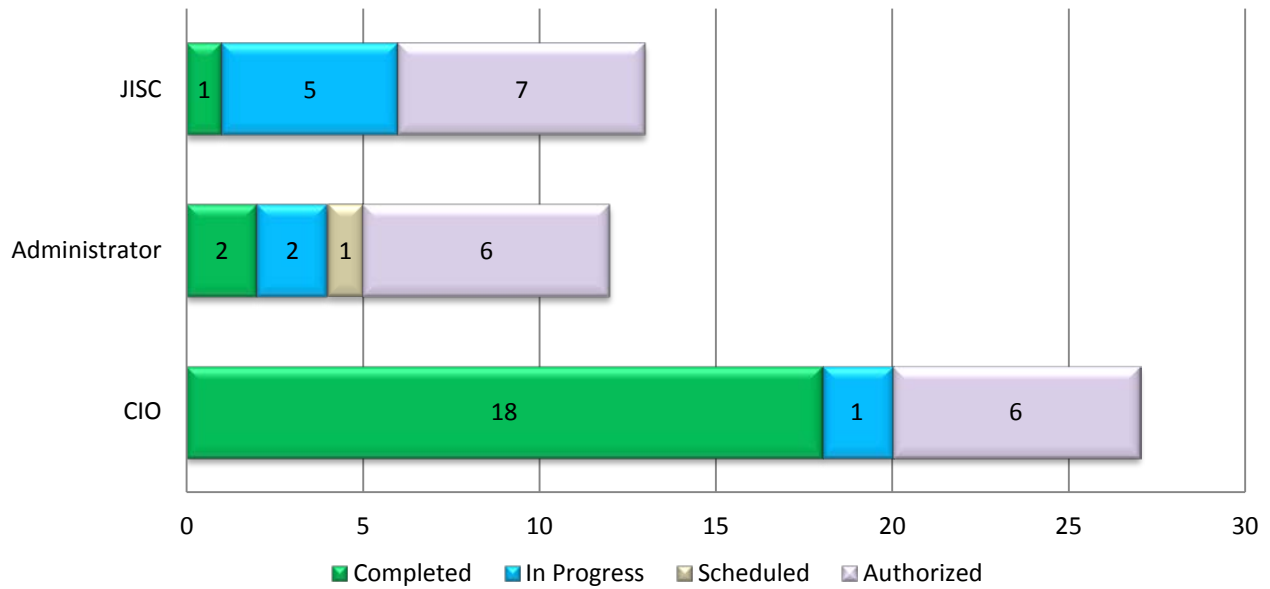
### Status of Requests by CLUG

Since ITG Inception



### Status of Requests by Authorizing Authority

Since ITG Inception



<b>JISC Priorities</b>					
<b>Priority</b>	<b>ITG #</b>	<b>Request Name</b>	<b>Status</b>	<b>Approving Authority</b>	<b>CLUG Importance</b>
1	121	Superior Court Data Exchange	In Progress	JISC	High
2	002	Superior Court Case Management System	In Progress	JISC	High
3	045	Appellate Court ECMS	In Progress	JISC	High
4	009	Add Accounting Data to the Data Warehouse	In Progress	JISC	High
5	041	CLJ Revised Computer Records and Destruction Process	In Progress	JISC	High
6	027	Expanded Seattle Municipal Court Case Data Transfer	Authorized	JISC	High
7	102	Request for new Case Management System to replace JIS	Authorized	JISC	High
8	085	JRS Replacement	Authorized	JISC	High
9	062	Automate Courts DCXT Table Entries	Authorized	JISC	Medium
10	007	SCOMIS Field for CPG Number	Authorized	JISC	High
11	026	Prioritize Restitution recipients	Authorized	JISC	Medium
12	031	Combine True Name and Aliases for Timepay	Authorized	JISC	Medium

### Appellate CLUG Priorities

Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	045	Appellate Courts ECMS	In Progress	JISC	High

### Superior CLUG Priorities

Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	107	PACT Domain 1 Integration	Authorized	Administrator	High
2	070	Access Data from the JIS Payment Monitoring Report	Authorized	Administrator	High
3	085	JRS Replacement	Authorized	JISC	High
4	007	SCOMIS Field for CPG Number	Authorized	JISC	High

### Non-Prioritized Requests

N/A	002	Superior Court Case Management System	In Progress	JISC	High
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<b>Courts of Limited Jurisdiction CLUG Priorities</b>					
<b>Priority</b>	<b>ITG #</b>	<b>Request Name</b>	<b>Status</b>	<b>Approving Authority</b>	<b>CLUG Importance</b>
1	027	Expanded Seattle Muni Case Data Transfer	Authorized	JISC	High
2	102	New Case Management System to Replace JIS	Authorized	JISC	High
3	156	Court Notification when Critical Identifiers changed	Scheduled	Administrator	High
4	041	CLJ Revised Computer Records Retention and Destruction Process	In Progress	JISC	High
5	058	CLJ Warrant – Print Page	In Progress	CIO	High
6	037	CLJ Warrant – Comment Line	In Progress	Administrator	Medium
7	079	WRO Screen Change under Bail Options	In Progress	Administrator	High
8	171	Connect CDT and AKA	Authorized	CIO	Medium
9	032	Batch Enter Attorneys to Multiple Cases	Authorized	CIO	Medium
10	077	Allow FTAs to Issue When AR is Zero	Authorized	CIO	Medium
11	038	Transfer Code for Judgment Field	Authorized	Administrator	Medium
12	068	Full Print on Docket Public View	Authorized	Administrator	Medium
13	031	Combine True Name & Aliases for Time Pay	Authorized	JISC	Medium
14	026	Prioritize Restitution Recipients	Authorized	JISC	Medium

<b>Multi Court Level CLUG Priorities</b>					
<b>Priority</b>	<b>ITG #</b>	<b>Request Name</b>	<b>Status</b>	<b>Approving Authority</b>	<b>CLUG Importance</b>
1	009	Add Accounting Data to the Data Warehouse	In Progress	JISC	High
2	152	DCH and Sealed Juvenile Cases	Authorized	CIO	High
3	087	Allow JIS Password to be Changed in JABS	Authorized	CIO	Medium
4	116	Display of Charge Title Without Modifier of Attempt	Authorized	Administrator	Medium
5	062	Automate Courts DCXT Table Entries	Authorized	JISC	Medium
6	141	Add Bond Transferred Disposition Code	Authorized	CIO	Medium
<b>Non-Prioritized Requests</b>					
N/A	003	Imaging and Viewing of Court Documents	Authorized	Administrator	Not Specified



WASHINGTON  
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# District and Municipal Court Judges' Association

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Bellingham Municipal Court  
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April 24, 2013

Callie Dietz, State Court Administrator  
Administrative Office of the Courts  
PO Box 41170  
Olympia, WA 98504-1170

Dear Ms. Dietz:

Thank you for including the District and Municipal Court Judges' Association (DMCJA) in the discussion regarding expedited planning for an improved case management system. The DMCJA Board of Governors has prioritized the support of a new CLJ case management system as a priority issue shortly after the initial request was entered into the IT Governance portal on July 8, 2011.

It is our understanding, as it has been represented by Ms. Callie Dietz, Ms. Vonnie Diseth, and Mr. Dirk Marler that a commitment to a commercial off the shelf (COTS) case management system will allow the Administrative Office of the Courts (AOC) to bypass the traditional feasibility study and therefore likely speed up the ability for AOC to provide a new case management system.

It is also our understanding that this commitment will in turn put in motion a plan for business requirements gathering subject to AOC funding and staff availability. The current projection for the beginning of business requirements gathering is 2014. On April 12, the DMCJA Board of Governors authorized support of pursuing a COTS solution to assist the expediency of the process. This general support of a COTS solution does not signal a commitment to a particular product for the courts of limited jurisdiction regardless of whether the product is selected by another court level or for another project.

STATE OF WASHINGTON

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Ms. Callie Dietz  
April 24, 2013  
Page 2

We look forward to assisting AOC in the business requirements gathering process and are hopeful this process can begin as soon as practicable.

Sincerely,

A handwritten signature in black ink, appearing to read 'S.B. Derr', written in a cursive style.

Judge Sara B. Derr  
DMCJA President

cc: Judge James Heller, DMCJA JISC Representative  
Judge Steve Rosen, DMCJA JISC Representative and DMCJA Chair  
Technology Committee  
Judge David Svaren, DMCJA President-Elect  
Ms. Vonnie Diseth, AOC  
Ms. Shannon Hinchcliffe, AOC ✓  
Ms. Vicky Marin, AOC



# DISTRICT AND MUNICIPAL COURT MANAGEMENT ASSOCIATION

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[lynnec@ci.issaquah.wa.us](mailto:lynnec@ci.issaquah.wa.us)

March 14, 2013

Ms. Callie Dietz  
State Court Administrator  
State of Washington  
P. O. Box 41174  
Olympia, WA 98504-1174

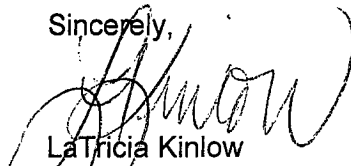
Dear Ms. Dietz,

This letter serves as DMCMA's written commitment to support a commercial off the shelf (COTS) case management system for the courts of limited jurisdiction. Members of the DMCMA have actively participated in the original CMS project as well as the current SC-CMS project from the beginning. We are fully aware of the capabilities and functionality that a COTS package offers, and it is our belief that no additional information will be gained by conducting a feasibility study. It is our understanding that our commitment to support a COTS application:

- ❖ Positions courts of limited jurisdiction to begin developing business and technical requirements in late 2013 or early 2014 (subject to funding and staff availability);
- ❖ Does not forfeit the need for a detailed charter with multiple "go/no-go" opportunities, assessments and solutions for risks identified for the project, project plans, work plans, and schedules
- ❖ Is not a commitment by DMCMA or AOC to a particular vendor's product for the courts of limited jurisdiction regardless of whether the product is selected by another court level.

It is with great urgency that we submit this commitment in support of our joint effort with AOC in acquiring a system for courts of limited jurisdiction. We appreciate all efforts being made on our behalf, and we are willing to offer any and all support necessary to begin this much needed process. Thank you.

Sincerely,



LaTricia Kinlow  
President

Cc: Judge Sara Derr, DMCJA President