



Judicial Information System Committee (JISC)

Friday, September 6, 2013 (9:00 a.m. – 12:30 p.m.)

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

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

AGENDA

1.	Call to Order a. Introductions b. Approval of Minutes	Justice Mary Fairhurst	9:00 – 9:10	Tab 1
2.	JIS Budget Update a. 13-15 Budget Update	Mr. Ramsey Radwan, MSD Director	9:10 – 9:20	Tab 2
3.	Proposed JIS Supplemental Budget Decision Packages: a. Decision Point: 2014-Supplemental Budget	Ms. Vonnie Diseth, ISD Director	9:20 – 9:35	Tab 3
4.	Draft 2014 Schedule • JISC Meeting Start Time	Justice Mary Fairhurst	9:35 – 9:45	Tab 4
5.	JISC Bylaw Changes for Data Dissemination Committee a. Add CLJ Administrator to DDC b. Decision Point: Approve Bylaw Amendment	Judge Thomas Wynne	9:45 – 9:50	Tab 5
6.	JIS Data Dissemination Policy Amendment a. Juvenile Records Access Decision Point: Approve Policy amendment	Judge Thomas Wynne	9:50 – 10:20	Tab 6
	Break		10:20 – 10:35	
7.	JIS Priority Project #3 (ITG 45): Appellate Court ECMS a. Project Update b. Decision Point: Approve Steering Committee Recommendation to sign contract with ImageSoft Inc.	Mr. Martin Kravik Ms. Vonnie Diseth, ISD Director	10:35 – 10:55	Tab 7
8.	JIS Priority Project #2 (ITG 2): Superior Court Case Management Update a. Project Update b. Revised Project Steering Committee Charter Decision Point: Approve Charter c. Local Court Planning & Implementation Cost Criteria Discussion d. Independent QA Report	Ms. Maribeth Sapinoso, PMP Ms. Vonnie Diseth, ISD Director Mr. Frank Maiocco	10:55 – 11:35	Tab 8

9.	JIS Priority Project Updates a. #1 SCDX - Superior Court Data Exch b. #5 (ITG 41) – CLJ Revised Computer Records Retention and Destruction Process c. Information Networking Hub (INH)	Mr. Mike Walsh, PMP Ms. Kate Kruller, PMP Mr. Dan Belles, PMP	11:35 – 12:05	Tab 9
10.	Committee Reports a. Data Dissemination Committee b. Data Management Steering Committee	Judge Thomas Wynne Mr. Rich Johnson	12:05 – 12:20	
11.	Meeting Wrap-Up	Justice Mary Fairhurst	12:20 – 12:30	
12.	Information Materials a. IT Governance Status Report b. IT Portfolio Quarterly Report c. ISD Monthly Report			Tab 10
Persons with a disability, who require accommodation, should notify Pam Payne at 360-705-5277 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:

October 25, 2013

December 6, 2013

2014 – Draft Schedule

February 28, 2014

April 25, 2014

June 27, 2014

September 5, 2014

October 24, 2014

December 5, 2014

JUDICIAL INFORMATION SYSTEM COMMITTEE

July 19, 2013
1:00 p.m. to 4:30 p.m.
AOC Office, SeaTac, WA

DRAFT - Minutes

Members Present:

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

Members Absent:

Chief Robert Berg
Judge J. Robert Leach

AOC Staff Present:

Mr. Kevin Ammons
Mr. Bill Cogswell
Ms. Vonnie Diseth
Ms. Stephanie Happold
Mr. Mike Keeling
Ms. Vicky Marin
Mr. Dirk Marler
Ms. Mellani McAleenan
Ms. Pam Payne
Mr. Ramsey Radwan
Ms. Maribeth Sapinosa
Mr. Matt Stevens
Ms. Heather Williams (phone)

Guests Present:

Ms. Lea Ennis
Mr. Frank Maiocco
Mr. Paul Sherfey
Mr. Roland Thompson

Call to Order

Judge Thomas Wynne called the meeting to order at 1:00 p.m. and introductions were made.

April 26, 2013 Meeting Minutes

Judge Wynne asked if there were any additions or corrections to the April 26 meeting minutes, hearing none, Judge Wynne deemed them approved.

JIS Budget Update (11-13 Biennium)

Mr. Ramsey Radwan presented the close of the 11-13 biennium. The green sheet indicates expenditures; amounts budgets and amounts expended and the variance. Mr. Radwan may present the final 11-13 budget and expenditures at the October meeting after the biennial closing process is complete.

JIS Budget Update (13-15 Biennium)

Mr. Ramsey Radwan presented the start of the new biennium green sheet. This sheet identifies the dollar amounts the legislature provided specifically for those decision packets we submitted and they funded. This sheet may or may not expand. As we make decisions through the course of the biennium specific decisions will be made about funding allocations. This could expand or contract the funding details moving forward.

JIS Fund Forecast

Mr. Ramsey Radwan presented the fund analysis for the seven year period. These numbers are subject to change. The biggest impact to these numbers will be the biennium close in October. That will determine the JIS fund balance available for the new biennium.

JISC Bylaw Change for Data Dissemination Committee

Judge Thomas Wynne presented a proposed amendment for the Data Dissemination Committee (DDC). The proposed amendment would add a CLJ Administrator to the DDC. This amendment comes at the request of the administrators on CLJ courts. The proposed amendment will be discussed and voted on at the next JISC meeting in September.

In addition, Judge Wynne presented a proposed bylaw amendment for the DDC. The proposed amendment would allow the DDC to request formal and informal opinions from the Attorney General's Office through the State Court Administrator.

Motion: Judge Thomas Wynne

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.

Second: Judge James Heller

Voting in Favor: All present (Judge Heller, Judge Rosen, and Aimee Vance, phone)

Opposed: None

Absent: Chief Berg and Judge Leach

JIS Data Dissemination Policy Amendment

Judge Wynne presented a proposed policy amendment for the DDC. Judge Wynne provided background on the policy regarding retention of court records by the CLJs. After discussions with members of the DDC and JISC, a proposal was suggested to create a subcommittee to look at remaining issues and make a recommendation on the policy previously set by the JISC. The recommendation would be prepared for the September 6 JISC meeting. The proposed amendment was tabled and referred to the subcommittee for review, to be reviewed at the September 6 JISC meeting.

Access to Justice Technology Principles Report

Ms. Vicky Marin presented the Access to Justice Technology Principles Report. Justice Fairhurst deemed the report approved for submission to the Supreme Court. Justice Fairhurst sought feedback on whether to alter the submission schedule for the report from an annual report to a biennial report. Mr. Rich Johnson felt that a biennial report would be sufficient. Justice Fairhurst recommended exploring with the BJA Board the prospect of changing the report submission to a biennial occurrence. The recommendation was deemed approved by all present.

ITG #2 - SC-CMS Update

Ms. Maribeth Sapinoso presented the current status of the Superior Court Case Management System (SC-CMS) Project summarizing the contract negotiation activities leading up to the July 19, 2013 JISC meeting. Meetings with Tyler were successfully completed with the Primary Negotiation Team, including meetings with the business and technical subject matter experts.

Final contract negotiations with Tyler and AOC concluded July 3, 2013. On July 9, 2013, the Project Steering Committee reviewed the details of the contract as it related to the desired outcomes addendum that was approved by the JISC on March 22, 2013. The Project Steering Committee also reviewed the Statement of Work, the Work Plan, and the Payment Plan. The outcome of the July 9th Project Steering Committee meeting was; the **unanimous approval** to make the recommendation to the JISC that the AOC execute the contract negotiated with Tyler Technologies, Inc.

Ms. Callie Dietz, Mr. Dirk Marler, and Ms. Maribeth Sapinoso presented a project update at the SCJA/AWSCA Annual Conference on April 30, 2013.

AOC staff members from the SC-CMS Project and the Court Business Office visited Benton/Franklin and Walla Walla County Superior Courts and Clerk Offices the end of June 2013.

No high exposure risks were identified for the June 2013 Quality Assurance Monthly Report produced by Bluecrane.

Next steps for the project include the selection process of the Pilot Site(s) and drafting the Project Steering Committee charter for JISC approval.

With approval of the contract by the JISC, the contract will be signed and Tyler Technologies will be on-site with the AOC beginning September 3, 2013.

Mr. Keith Curry was noted as having resigned his position as the deputy project manager. Mr. Curry left to pursue a promotional opportunity with another agency. Ms. Vonnie Diseth and Ms. Sapinoso both stated a replacement candidate for the deputy project manager position is being finalized.

Ms. Diseth reviewed the decision point approving the SC-CMS Steering Committee recommendation. Negotiations with Tyler Technologies had been extensive over the past three months. Several out-of-scope items were brought into scope at no additional cost, including financials. Tyler had noted the Odyssey system had never been implemented without the financials piece, and could produce an increased risk, as well as increasing costs if added at a later date. Financial Manager, Document Management, Electronic Filing, and SessionWorks Judge Edition were all included in the contract. These functions are optional, and not required for every court to use. The original bid was \$29.5 million, and the contract amount, as negotiated, came to \$29.035 million.

Justice Fairhurst provided acknowledgement and thanks to the members of the steering committee and the contract negotiation team. Mr. Paul Sherfey asked for support for approving the contract. Ms. Diseth pointed out the motion contains an understanding that the SC-CMS project will cover the local court planning and implementation costs. Justice Fairhurst requested vigilance be paid to legislative funding towards implementation costs at the local level.

Justice Fairhurst had received a notice of concern centered on the document management and E-filing, and the potential for fees associated with using the document management modules. Concerns included if the fees were standard throughout the state, and how this would impact private sector groups. Justice Fairhurst sought confirmation that discussions about fees would be held as the project moves forward. Ms. Barb Miner felt this subject had not been talked about at this level. In particular, the E-filing module is "software as a service (SAS)". Which means that Tyler hosts the service and includes a \$5 fee to use the E-filing service. As different

counties use the module, there could be issues regarding costs/fees. Oregon charged users \$10. Ms. Diseth noted this is "software as a service", explaining the fee covers Tyler's maintenance, support, help desks, and the other costs to support the service. Ms. Miner raised a concern that if E-filing becomes a mandatory part of the court, the fee then becomes mandatory as well. When implemented as an option, a cost-benefit analysis can be made on the user's part, but to mandate the fee could have other impacts to the courts. Ms. Sapinoso noted the contract states for every filing, there will be one fee of \$5, regardless of the number of documents that get filed. Tyler stated the fee could be waived for indigent customers. With regard to pro se, Tyler will be providing their web portal, and all registered users will have access to the web portal. Judge Wynne noted this discussion had been initiated during one of the site visits, inquiring of the courts in Minnesota about their use of the e-filing system. Justice Fairhurst noted concerns about authority to implement the fees from a legal perspective. Ms. Kleinberg expressed concern about the contractual agreement to the \$5 fee if the service is turned on, and does the contract contain a fee waiver or was any waiver a verbal commitment outside the contract. Ms. Sapinoso responded that e-filing is an option that anyone can choose to use, but cannot be used until AOC tells Tyler that it is ok to enable. The \$5 fee is part of the business model for Tyler, and is not subject to waiver except for reasons of financial need. The contract is written with e-filing as optional software. Ms. Diseth confirmed that there are significant policy issues that need to be addressed prior to the software being turned on.

Mr. Rich Johnson felt there were several issues, but his primary concern is with local implementation costs. If a county decides to do financial management, will the project also pay for the local implementation costs of the financial management? Same question if a county chooses to implement document management. Mr. Johnson expressed concern that the motion covers all local implementation costs when there is not a good handle on what those costs would amount to. Judge Wynne noted his understanding is that the financial management was not optional, and Ms. Diseth concurred. Mr. Johnson noted that these two areas were out-of-scope in the original cost assessment during the initial feasibility study, and the costs may have increased with the added modules. Ms. Sapinoso noted the financials will be implemented statewide, and Tyler has factored into their schedule an additional 2-3 weeks to account for the financials fit analysis. No software related costs will be added, only costs due to resources. Mr. Johnson reiterated that his concerns include the reconfigurations at a local court level that would be necessary to work with the Tyler financial system. Ms. Sapinoso stated the AOC is still working towards evaluating this, and will be getting there.

Judge Jeanette Dalton clarified a point on local implementation costs. The purpose of the SC-CMS project covering local courts costs would be to allow those counties that otherwise could not afford to hook-up to the Odyssey system to implement the system. Judge Dalton felt severing the local implementation costs from the rest of the motion is not feasible.

Ms. Diseth expressed a need for criteria regarding what will and will not be paid for as part of the implementation. Does the size of the court make a difference? Does each county need a project manager? Some form of criteria is necessary to keep costs within the scope of the project.

Ms. Yolande Williams felt criteria are necessary, but felt that this could not be determined at this meeting. The initial \$1.9 million for local court implementation is probably not a realistic number. Would it be helpful to clarify that e-filing is optional for the courts and that there is a charge from Tyler for its use? Mr. William Holmes suggested if adding "as determined by the JISC review and approval" may provide the ability to review of the costs in the future. Ms. Williams stated she would be comfortable with adding this to the motion.

Motion: Judge Jeanette Dalton

I move that the JISC approve the SC-CMS RFP Steering Committee's recommendation for 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, as determined by the JISC.

Second: [Inaudible]

Ms. Miner discussed the effects of the local court implementation costs, including time spent in training and covering backfills for the overtime to cover regular court activities. Without funding from the SC-CMS project, some courts would be unable to implement the system due to the budget constraints in covering regular courts duties during training. Justice Fairhurst suggested amending the motion to "...County Clerks, and this motion is made with the understanding that the SC-CMS Project covers local court planning and implementation costs, with criteria as determined and approved by the JISC." This will allow for the continuation of an oversight committee. The amendment was accepted by both the mover and the second.

Ms. Callie Dietz urged the body to pass the motion as amended. Mr. Sherfey expressed some concern about what criteria would be used to defray implementation costs, noting some counties may elect not to implement the system due to costs, even with some level of reimbursement. Judge Dalton felt the costs would be better served if leveraged onto the state legislators rather than on individual counties, commissioners, and the like. In order to be a statewide system, the system needs to be implemented everywhere, not just in individual counties. Ms. Williams emphasized establishing some criteria now, as additional courts will be looking to implement systems in the future, and the criteria set here will help guide decisions down the road.

Justice Fairhurst restated this amended motion which was approved by Judge Dalton and seconded.

I move that the JISC approve the SC-CMS RFP Steering Committee's recommendation for the 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, and this motion is made with the understanding that the SC-CMS Project covers local court planning and implementation costs, with criteria as determined and approved by the JISC.

Voting in Favor: All present (Judge Heller, Judge Rosen, and Aimee Vance, phone)

Opposed: None

Absent: Chief Berg, Joan Kleinberg, and Judge Leach

ITG #121 Superior Court Data Exchange Update

Mr. Kevin Ammons presented the update on the Superior Court Data Exchange (SCDX) Project. Mr. Ammons informed the JISC that AOC had received a letter from the Pierce County Information Technology Department Director, Linda Gerull, stating that Pierce County would complete work on the six data exchanges that are currently being worked on, but work on the other 60 data exchanges would be put on hold indefinitely. This suspension of work was directed by the Pierce County Technology Investment Board, based on Pierce County's estimate that the remaining 60 services would take Pierce County IT resources over 3,000 hours to implement.

Mr. Ammons continued by stating that AOC is currently making a small modification to SCOMIS to correct an issue Pierce experienced with duplicate docket entries on some types of transactions. Pierce County will attempt to implement the six data exchanges once the SCOMIS modification is deployed.

AOC has now completed testing on all 66 SCDX services and these services are available for any customer to consume. King County has inquired about using three services and plans to begin testing in the near future.

Judge Wynne inquired about the payments being made to Pierce County, and the continued duration of the payments. Ms. Diseth clarified the amount being paid to Pierce County and stated that after Pierce County gets the six services for the data exchange running for a couple months, a follow-up meeting will be held with Pierce County to discuss an ongoing strategy going forward. The follow-up meeting will be scheduled for the late fall/early winter after Tyler Technologies is on-board. Ms. Williams inquired about the amount AOC has spent on the SCDX project to this point. Ms. Diseth noted \$1.6 million has been spent on contracting costs, not including ISD staff costs.

Mr. Johnson made a motion for JISC to fund Pierce County's costs for implementing all of the SDCX services. Mr. Johnson raised the point that the SCDX services were intended to be the basis of the Information Networking Hub (INH) and asked how that project was impacted. Mr. Ammons stated that the services have already been incorporated into the INH project and will be used even if the services are not implemented for Pierce County. Ms. Miner seconded the motion, adding time and expenditures to this point should be relevant to any decision. Ms. Diseth discouraged the notion for counties to develop their own systems when a statewide system will be available explaining that the time and money required to integrate these individual systems into a larger statewide system will detract from our ability to do other projects down the road. Mr. Rich Johnson clarified his motion, emphasizing the motion does not dictate how the implementation of the services occurs, only that the funding is provided. Mr. Ammons stated the resources would have to be based in Pierce County, as AOC does not have the resources to work with the LINX system. Judge Wynne expressed concern about the availability of funds.

Motion: Ms. Vonnie Diseth

I move to table consideration of the motion until the December 6 meeting of the JISC to give time for Pierce County to implement the six services and for AOC to evaluate the implementation.

Second: Judge Wynne

Voting in Favor: All present except Rich Johnson (Judge Heller, Judge Rosen, and Aimee Vance, phone)

Opposed: None

Abstain: Rich Johnson

Absent: Chief Berg, Joan Kleinberg, and Judge Leach

Committee Reports

Data Dissemination Committee:

Judge Wynne provided the JISC with an update on the actions of the Data Dissemination Committee. The last meeting entailed discussions on Data Driven Safety and access to traffic infractions. A proposed amendment to the Data Dissemination policy regarding juvenile court

records will be discussed at the next meeting. This will prohibit the bulk transfer of juvenile information and take related information off the public website. Access to juvenile information will remain through JIS-Link and the clerks' offices. The final draft for GR-15 is in the works, and will be completed for the October 25 JISC meeting.

Data Management Steering Committee:

Mr. Rich Johnson provided the JISC with an update on the Data Management Steering Committee (DMSC). One project that has been overseen is the expansion of the data warehouse to include county data, and the project is scheduled for completion in the near future. An on-going effort is being conducted with AOC staff regarding a roadmap for the DMSC in the next several years. The nature of the oversight from the DMSC is being discussed, and the management structure within AOC compared to DMSC/JISC oversight has been a point of dialogue.

IT Security Update

Ms. Vonnie Diseth provided an update on IT Security. Mr. Matt Stevens was introduced as the new Information Security Officer at AOC. After the February security breach, numerous security updates have been made to upgrade systems. An IT security team was created that has been meeting weekly to identify potential vulnerabilities and plans within court systems. An RFQQ has been released to obtain the services of a security consulting firm to analyze and test systems and plans. Changes will affect court users, and as these are identified, users will be notified. Attacks on the systems have been occurring on a daily basis, and security needs to be monitored and upgraded to maintain protected systems. Ms. Diseth clarified that JIS systems were not breached; rather the web servers were breached. Ms. Diseth and Mr. Mike Keeling provided details on how the data was accessed and what sort of data was available. Ms. Callie Dietz ensured the JISC regular security reports would be provided going forward.

Adjournment

The meeting was adjourned by Justice Fairhurst at 4:25 p.m.

Next Meeting

The next meeting will be September 6, 2013, at the AOC SeaTac Facility; from 9:00 a.m. to 3:00 p.m.

Action Items

	Action Item – From October 7th 2011 Meeting	Owner	Status
1	Confer with the BJA on JISC bylaw amendment regarding JISC communication with the legislature.	Justice Fairhurst	

**Administrative Office of the Courts
Information Services Division Project Allocation & Expenditure Update
2013-2015 Allocation**

Expenditures as of July 31, 2013

Initiatives--JIS Transition	ALLOTTED	EXPENDED	VARIANCE
Information Networking Hub (INH)			
Information Networking Hub (INH)	\$1,500,000	\$0	\$1,500,000
Information Networking Hub (INH) - Subtotal	\$1,500,000	\$0	\$1,500,000
Superior Court CMS			
Initial 13-15 Allocation *	\$8,400,000	\$165,111	\$8,234,889
COTS Prep	\$2,900,000	\$0	\$2,900,000
Superior Court CMS Subtotal	\$11,300,000	\$165,111	\$11,134,889
Electronic Content Management System			
ECMS *	\$333,000	\$0	\$333,000
ECMS Subtotal	\$333,000	\$0	\$333,000
Equipment Replacement			
Equipment Replacement - External	\$1,199,000	\$0	\$1,199,000
Equipment Replacement - Internal	\$2,138,000	\$0	\$2,138,000
Equipment Replacement Subtotal	\$3,337,000	\$0	\$3,337,000
TOTAL 2013-15	\$16,470,000	\$165,111	\$16,304,889

* 2014 supplemental budget requests will be submitted for the SC-CMS (\$5.3 m) and the ECMS (\$1.1 m)

**2014 Information Technology
Supplemental Budget Request Summary
Administrative Office of the Courts**

Superior Court Case Management System (SC-CMS)	FTE 0.0	JIS Account	\$5,306,000
Funding is requested to continue the implementation of the new Commercial Off The Shelf (COTS) Case Management System for the Superior Courts. Additional funding is needed in the current biennium to pay for vendor services as performed according to the signed contract and statement of work.			
Appellate Court Enterprise Content Management System (AC-ECMS)	FTE 0.0	JIS Account	\$1,250,000
Funding is requested to continue the implementation of the Appellate Court Enterprise Content Management System (AC-ECMS).			
Increase in Infrastructure Maintenance Costs	FTE 0.0	JIS Account	\$1,159,000
Funding is requested to pay for increases in software and hardware maintenance costs.			
IT Security Enhancements	FTE 0.0	JIS Account	\$750,000
Funding is requested to implement IT security enhancements to AOC's data, applications, and technical environment based on the recommendations of an independent IT security firm hired to evaluate AOC existing IT security policies and practices, conduct internal and external penetration testing, conduct a vulnerability assessment and risk analysis, review our application controls, conduct an assessment of the security awareness of employees, and develop and updated, comprehensive IT Security Plan for AOC.			
Total IT Preliminary Budget Requests	FTE 0.0		\$8,465,000

Judicial Information System Committee Meeting

September 6, 2013

DECISION POINT – 2014 Decision Packages

MOTION:

I move that the JISC approve the 2014 Supplemental Decision Packages for the Superior Court Case Management System, Appellate Court Enterprise Document Management System, IT security improvements, and infrastructure maintenance.

I. BACKGROUND

RCW 2.68.010 provides that the JISC “shall determine all matters pertaining to the delivery of services available from the judicial information system.” RCW 2.68.020 provides that the Administrative Office of the Courts (AOC) shall maintain and administer the Judicial Information System (JIS) account. JISC Rule 1 requires the Administrator for the Courts to operate the JIS, under the direction of the JISC and with the approval of the Supreme Court. JISC Rule 4 requires the Administrator for the Courts to prepare funding requests, under the direction of the JISC and with the approval of the Supreme Court.

II. DISCUSSION

For the 2014 supplemental budget, AOC plans to propose supplemental decision packages to the Supreme Court and the Legislature to fund the following projects: the Superior Court Case Management System, Appellate Court Enterprise Document Management System, IT security improvements, and infrastructure maintenance. Pursuant to statute and court rule, AOC is requesting the approval of the JISC to move forward with these decision packages.

III. PROPOSAL

AOC recommends that the JISC approve the above-named projects for the 2014 supplemental budget request.

IV. OUTCOME IF NOT PASSED

If not passed, two of the highest priority projects of the JISC (Superior Court Case Management System and the Appellate Court Enterprise Document Management System) that are currently in process will not have the necessary funds to meet our contractual obligations this biennium. In addition, AOC would not be able to implement needed IT security improvements. The increased maintenance costs for software and hardware will create a negative balance in ISD’s current budget.

2014 Meeting Schedule
Judicial Information System Committee (JISC)
See Agenda for Conference Call Number

JISC Meetings 9:00 a.m. - 3:00 p.m.
February 28, 2014
April 25, 2014
June 27, 2014
September 5, 2014
October 24, 2014
December 5, 2014

JISC Meeting Material: [JISC Meeting Material](#)

AOC SeaTac Facility
18000 International Boulevard, Suite 1106
SeaTac, WA 98188
(Dates/Times/Locations Subject to Change)

**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 or juvenile 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

September 6, 2013

**DECISION POINT – JISC Bylaw Amendment: Data Dissemination
Committee Adding Limited Jurisdiction Court Administrator**

MOTION:

I move to approve an amendment to the JISC Bylaws to add a limited jurisdiction court administrator to the membership of the Data Dissemination Committee.

I. BACKGROUND

Article Seven of the JISC Bylaws created the JISC Data Dissemination Committee (DDC) 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 3 outlines the membership of the DDC as the following representatives, drawn from the JISC membership:

1. The JISC Vice Chair
2. Two superior court judges
3. Two court of limited jurisdiction judges
4. A county clerk
5. An appellate court representative
6. A trial court administrator appointed by the JISC Chair

II. DISCUSSION

A JISC member requested that the DDC include a member representing court of limited jurisdiction administrators. A draft of the proposed bylaw amendment, adding a limited jurisdiction court administrator, was proposed to the JISC at the meeting July 19, 2013, as required by Article Five of the JISC bylaws.

Data Dissemination Policy

AUTHORITY AND SCOPE

DEFINITIONS

ACCESS TO JIS LEGAL RECORDS

JIS PRIVACY AND CONFIDENTIALITY POLICIES

LIMITATION ON DISSEMINATION OF JUVENILE OFFENDER COURT RECORDS

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

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. LIMITATION ON DISSEMINATION OF JUVENILE OFFENDER COURT RECORDS*

The dissemination of juvenile offender court records maintained in the Judicial Information System shall be limited as follows:

- A. Juvenile offender court records shall be excluded from any bulk distribution of JIS records by the Administrative Office of the Courts otherwise authorized by GR 31(g), except for research purposes as permitted by statute or court rule.
- B. The Administrative Office of the Courts shall not display any information from an official juvenile offender court record on a publicly-accessible website that is a statewide index of court cases.

* Juvenile offender court records shall remain publicly accessible on the JIS Link notwithstanding any provision of this section.

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.

~~IX~~-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

**RECEIVED STAKEHOLDER COMMENTS
FOR JUVENILE OFFENDER COURT
RECORDS DD POLICY AMENDMENT**



Superior Court Judges' Association

August 19, 2013

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Honorable Thomas Wynne
Snohomish County Superior Court
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Everett, WA 98201-4046

RE: JIS Data Dissemination Policy re Juvenile Court Records

Dear Tom,

As president of the Superior Court judges' Association (SCJA), I send this letter to formally report that the Board of Trustees voted unanimously to support the JIS Data Dissemination Policy regarding Juvenile Records. This vote was taken at our August 3, 2013, meeting. This letter memorializes that decision; you are free to use this letter to demonstrate SCJA's support of the policy.

Sincerely,

Charles R. Snyder
President Judge

cc: SCJA Board of Trustees
Judge Steve Warning
Judge Kitty Ann van Doorninck
Ms. Callie Dietz

From: [Travis Stearns](#)
To: [Happold, Stephanie](#)
Cc: [Christie Hedman](#)
Subject: WDA Comments to New JIS Policy and Proposed Changes to GR 15
Date: Tuesday, July 16, 2013 11:26:38 AM
Attachments: [WDA Comments to GR 15 Proposed Amendments.pdf](#)

Stephanie, I understand that you are the right person to send our comments to. Please let me know if I am wrong.

I have attached a letter stating our position. We are in accord with the Juvenile Law Section of the WSBA, supporting the new policy statement and asking that GR 15 include language that “the sealing of juvenile offenses shall be governed by RCW 13.50.050.”

Thank you for your attention on this matter.

t.

Travis Stearns

Deputy Director

[Washington Defender Association](#)

(206) 623-4321



**Washington Defender Association
110 Prefontaine Place South, Suite 610
Seattle, Washington 98104**

Christie Hedman, Executive Director
Michael Kawamura, President



Telephone: (206) 623-4321
Fax: (206) 623-5420

July 15, 2013

RE: Proposed Amendments to GR 15 and Policy to Limit Bulk Distribution of JIS Juvenile Records

Dear Members of the JIS-Data Dissemination Committee:

Please accept these comments on behalf of the Washington Defender Association, which is in accord with the comments submitted by the WSBA Juvenile Law Section. WDA supports the new JIS Policy (VI.), which limits the bulk distribution of juvenile records. WDA asks that the changes to GR 15 not be adopted. Instead, WDA would agree with the WSBA Juvenile Law Section that a provision stating that "The sealing of juvenile offense records shall be governed by RCW 13.50.050" should instead be added to GR 15.

New JIS Policy (VI.) Limitation on Dissemination of Juvenile Offender Court Records

WDA supports the JIS's new proposed policy to limit the bulk distribution of juvenile records. While not a perfect solution, it provides a fix to the timeliness of the records that are distributed by private consumer reporting agencies and supports the removal of juvenile's names and offense information from public websites.

Proposed Changes to GR 15

WDA believes that there the legislature created a clear process for sealing juvenile court records and that the procedures for sealing under GR 15 should reflect this. Like the WSBA Juvenile Law Section, WDA proposes that GR 15 include a provision that states "*The sealing of juvenile offense records shall be governed by RCW 13.50.050.*"

WDA agrees that the proposed amendments to GR 15 make the process for sealing juvenile records almost identical to the process for sealing adult records and would ask that these amendments not be considered. In addition to the clear process already established by the legislature under RCW 13.50.050, WDA would ask you to consider the fact that the courts and our legislature have recognized that youth are different and that rules need to be crafted with those differences in mind.

WDA believes that the proposed amendments go beyond those found in RCW 13.50.050 or any court decision. They create an additional and unnecessary barrier for youth who have been rehabilitated and are seeking to move past their criminal history. Instead of recognizing as

the U.S. Supreme Court has done in every major juvenile decision since 2005 that there are fundamental differences between youth and adults, these amendments would treat youth seeking to seal their records in much the same way that adults are now treated.

WDA would ask you to support the new JIS Policy but to reject the proposed changes to GR 15. Instead, we would ask you to adopt the language proposed by the WBSA Juvenile Law Section and include the provision that "The sealing of juvenile records shall be governed by RCW 13.50.050."

Sincerely,

A handwritten signature in black ink, appearing to read "Travis Stearns". The signature is stylized with a large, sweeping flourish at the end.

Travis Stearns, Deputy Director

SARAH DUNNE
LEGAL DIRECTOR

LA ROND BAKER
NANCY TALNER
STAFF ATTORNEYS

MARGARET CHEN
FLOYD AND DELORES JONES
FAMILY FELLOW

VANESSA TORRES
HERNANDEZ
EQUAL JUSTICE WORKS
FELLOW



July 17, 2013

Data Dissemination Committee
c/o The Honorable Thomas J. Wynne
Snohomish County Superior Court
3000 Rockefeller Ave
M/S 502
Everett, WA 98201

**Re: Comments to Proposed General Rule 15 and Data
Dissemination Policy**

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JEAN ROBINSON
BOARD PRESIDENT

KATHLEEN TAYLOR
EXECUTIVE DIRECTOR

Dear Members of the Data Dissemination Committee,

The ACLU of Washington (ACLU) thanks the committee for the opportunity to comment upon the proposed changes to General Rule 15, governing access to and sealing of court records. The ACLU is a nonprofit nonpartisan group of over 20,000 members dedicated to advancing civil rights and civil liberties. The ACLU is strongly committed to the open administration of justice and the public's ability to oversee the courts. It also seeks to protect individual privacy, particularly in the digital age. In light of these values, we offer the following comments.

I. GR 15 should be amended to protect individual privacy in non-conviction records.

As stated in our letter dated April 11, 2013, the ACLU supports proposed GR 15(c)(4)(D) and GR 15(d)(2), which would protect the privacy rights of individuals with non-conviction records. The rules would permit sealing of non-conviction records in individual cases based upon the *Ishikawa* factors, and would protect against the unjustified loss of employment, housing, or other opportunities based upon a non-conviction record. These rules strike the balance between protecting individual privacy and preserving the public's right to the open administration of justice and should be adopted.

II. GR 15 should permit redaction of names from the court indices

We respectfully suggest that the Committee reconsider GR 15(c)(6) which states that "the name of a party to a case may not be redacted, or otherwise changed or hidden, from an index maintained by the Judicial Information System or by a court." This language appears to preclude any change, for any reason, to the original party names. But there are many legitimate reasons for changing a party name. For example, one ACLU client had a case filed against her, when her niece was the actual perpetrator. Once the deception was discovered, the case name was changed to reflect the actual

defendant. The words “otherwise changed” would prevent such necessary changes and should be deleted.

Further, redacting a name after full consideration of the *Ishikawa* factors may be necessary to protect individual interests and consistent with the public’s right to the open administration of justice. Indeed, redaction of a minor party’s name to protect individual privacy is a common practice in both the appellate and federal courts. *See* RAP 3.4; Fed. R. Civ. Pro. 5.2(a)(3). Cases may still be located by case number, by initials, or by the name of the other party. A case with a redacted party name is no more hidden than a case filed under the name “John Doe”.

We continue to believe that the Committee should wait for the Supreme Court’s guidance in *Hundtofte v. Encarnacion*, No. 88036-1. As the committee knows, the Supreme Court heard oral argument in *Encarnacion* on June 13th. One of the primary issues before the court is whether redaction of a party name actually amounts to destruction or hiding of a court record, and whether such redaction is permitted by the constitution. We recommend that the committee delete GR 15(c)(6) and revisit the issue after *Encarnacion* is decided.

III. Juvenile records should be removed from the statewide index and juvenile sealing should be permitted according to statute.

The ACLU also supports the proposed change to the data dissemination policy that would exclude juvenile records from bulk distributions and the Washington Courts website. These changes will ensure that publicly-available juvenile records are complete, up-to-date and accurate. It will prevent people from misusing the Washington Courts website to conduct background checks including juvenile records, even though the website is not a complete record of the case. The change could deter background check companies from relying on outdated bulk distribution records and reporting juvenile cases that have been sealed. Because the records will be fully available in JIS-Link and at the courthouse, the public’s right of access will be protected.

We echo the Washington State Bar Association Juvenile Law Section’s comments about the extension of *Ishikawa* to juvenile records. No appellate court has held that the juvenile sealing statute must be read in conjunction with *Ishikawa* before sealing juvenile records. We encourage the committee to remove all references to juvenile records in the proposed GR 15, and clarify that juvenile sealing motions must be brought in accordance with RCW 13.50.050.¹

Conclusion

¹ Alternatively, the Committee should wait for the Court of Appeal’s guidance in *State v. S.J.C.* No. 691564, which squarely presents the question of whether motions to seal juvenile records must satisfy both the statutory requirements and the *Ishikawa* analysis.

July 17, 2013
ACLU to JIS Data Dissemination Committee
Page 3

We thank the Committee for the opportunity to comment. Please do not hesitate to contact me if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "Vanessa T. Hernandez". The signature is fluid and cursive, with a large loop at the end.

Vanessa Torres Hernandez
vhernandez@aclu-wa.org
ACLU-WA Second Chances Project

From: [Tammie Freshley](#)
To: [Happold, Stephanie](#)
Subject: Comments to draft amendment to the Data Dissemination Policy
Date: Tuesday, July 16, 2013 7:21:20 PM

Stephanie,

In follow-up to your conversation with Chuck Jones of our office, below are comments to the draft amendment to the Data Dissemination Policy regarding juvenile offender records. We would appreciate your passing these on to the Data Dissemination Committee on our behalf.

Thank you and please let us know if there is updated dial-in information for the Data Dissemination Committee meeting on July 29th.

Regards,

Tammie

COMMENTS TO DATA DISSEMINATION COMMITTEE:

- 1. OPENonline strongly opposes the imposition of restrictions on information contained in public records, such as the exclusion of juvenile offender records in the bulk distribution of JIS records by the Administrative Office of the Courts.*
 - 2. Is the intent of the proposed policy to remove all juvenile records, including serious and violent offenses or records of repeat offenders? Will there be any exceptions, i.e., cases of a particularly violent crime or a crime that would be considered a felony if committed by an adult?*
 - 3. In the event the amendment is passed, given that section 1 of the proposed policy states "Juvenile offender court records shall be excluded from any bulk distribution...", it is clear that we will no longer receive juvenile records in our bulk data updates. However, section 2 states "The Administrative Office of the Courts shall not display any information from an official juvenile offender court record on a publicly-accessible website that is a statewide index of court cases." We are not the "Administrative Office of the Courts" nor is our site a "publicly-accessible website", given that only vetted customers have access. As such, can we continue to use the historical records we currently have?*
-



July 16, 2013

Stephanie Happold
Data Dissemination Administrator
Administrative Office of the Courts
PO Box 41170
Olympia, WA 98504-1170

RE: Comments on the Proposed Amendments to GR 15 and Policy to Limit Bulk Distribution of JIS juvenile records

Dear Members of the JIS-Data Dissemination Committee:

The WSBA Juvenile Law Section includes attorneys throughout Washington State who specialize in juvenile law, including juvenile defense attorneys, juvenile prosecutors, dependency attorneys, assistant attorneys general, civil legal aid attorneys and private practitioners. In addition, the section includes judges and non-attorney professionals who are concerned about how children and youth interact with the legal system. On behalf of the section, the Executive Committee submits the following comments regarding the new policy on dissemination of juvenile offender court records and proposed changes to GR 15.

New JIS Policy (VI.) Limitation on Dissemination of Juvenile Offender Court Records

The section supports the JIS's new proposed policy to limit the bulk distribution of juvenile records. This is a good step toward protecting juvenile records that have already been sealed from continued dissemination. While it is not a perfect solution to the problem of juvenile records being available without restriction forever, regardless of sealing, it seems to provide some fix to the timeliness of the records that are distributed by private consumer reporting agencies. In addition, the section supports the removal of juvenile's names and offense information from the public website.

Proposed Changes to GR 15

The section's primary concern is that **the proposed amendments to GR 15 make the process for sealing juvenile records almost identical to the process for sealing adult records** despite a clear process already established by the legislature under RCW 13.50.050.

Juveniles are different from adults. Since 2005, the U.S. Supreme Court has held on 4 different occasions that juveniles are constitutionally different than adults. *See Roper v. Simmons*, 543 U.S. 551 (2005);

Graham v. Florida, 560 U.S. ___ (2010); *J.D.B. v. North Carolina*, 564 U.S. ___ (2011); *Miller v. Alabama*, 567 U.S. ___ (2012). Justice Kagan summarized the differences in the *Miller* case:

Our decisions rested not only on common sense—on what “any parent knows”—but on science and social science as well. *Id.*, at 569, 125 S.Ct. 1183. In *Roper*, we cited studies showing that “ [o]nly a relatively small proportion of adolescents’ ” who engage in illegal activity “ ‘develop entrenched patterns of problem behavior.’ ” *Id.*, at 570, 125 S.Ct. 1183 (quoting Steinberg & Scott, *Less Guilty by Reason of Adolescence: Developmental Immaturity, Diminished Responsibility, and the Juvenile Death Penalty*, 58 *Am. Psychologist* 1009, 1014 (2003)). And in *Graham*, we noted that “developments in psychology and brain science continue to show fundamental differences between juvenile and adult minds”—for example, in “parts of the brain involved in behavior control.” 560 U.S., at —, 130 S.Ct., at 2026.⁵ We reasoned that those findings—of transient rashness, proclivity for risk, and inability to assess consequences—both lessened a child’s “moral culpability” and enhanced the prospect that, as the years go by and neurological development occurs, his “ ‘deficiencies will be reformed.’ ” *Id.*, at —, 130 S.Ct., at 2027 (quoting *Roper*, 543 U.S., at 570, 125 S.Ct. 1183).

The Washington State legislature has also acknowledged the differences between juveniles and adults, specifically in the area of the maintenance and availability of juvenile records. The legislature has specified how juvenile records should be maintained in order to effectuate the intent of Washington’s juvenile justice, child welfare and status offender systems, which are responsible for protecting children, treating youth who offend and holding youth accountable. Juvenile dependency court records are confidential and not available to the public. RCW 13.50.100. Since 1977, however, juvenile offender court records are public unless and until they are sealed by court order pursuant to RCW 13.50.050. This statute allows individuals who have satisfied their restitution obligations and have remained offense free for a certain period of time (5 years for Class A felonies and 2 years for Class B and C felonies and misdemeanors) to request the court to seal their juvenile records.¹ Once sealed,

the proceedings in the case shall be treated as if they never occurred, and the subject of the records may reply accordingly to any inquiry about the events, records of which are sealed. Any agency shall reply to any inquiry concerning confidential or sealed records that records are confidential, and no information can be given about the existence or nonexistence of records concerning an individual.

RCW 13.50.050(14). In other words, juveniles who get into trouble and are brought before the juvenile court have the opportunity, by demonstrating that they have paid their financial obligations and stayed out of trouble, to have a clean slate. Given what we know about adolescent development it makes sense that youth should be allowed to move past their childhood mistakes and should be given the supports they need to obtain education, employment, and stability. By establishing a clear sealing process for

¹ Some of the most serious juvenile sex offenses cannot be sealed; others require that the additional requirement of obtaining relief from registration be obtained prior to eligibility for sealing.

juvenile records, the legislature has recognized that a criminal history record that continues forever runs counter to the rehabilitative goals of the juvenile justice system.

Unfortunately, many youth with juvenile records are still unable to take advantage of this process because they lack the resources to hire counsel to assist them in drafting and filing a legal motion, setting a hearing, serving parties and obtaining a signed court order. In addition, the internet age has brought with it challenges to the sealing process since court records that exist in the digital world are often difficult to erase. Hence, there have been continuing efforts in the legislature to reduce barriers for young people with juvenile records. See, e.g. HB 1651 *An Act Relating to Access to Juvenile Records*.²

The proposed amendments to GR 15 treat juvenile records similar to adult records and impose requirements on sealing juvenile records that go beyond those found in RCW 13.50.050 or any appellate decision. These requirements create confusion as well as additional barriers for youth who are given notice of their sealing rights at the time of disposition pursuant to RCW 13.50.050(20). The requirement goes in the opposite direction of where the legislature and courts have been heading in acknowledging the differences between adolescents and adults, particularly as to their culpability and capacity to change. It appears that the proponents of the changes to GR 15 assume that the requirements set forth in *Seattle Times v. Ishikawa*, 97 Wn.2d 30 (1982) are applicable to the sealing of juvenile court records pursuant to RCW 13.50.050. The *Ishikawa* case involved a newspaper's challenge to the trial court's sealing of the record of a pre-trial motion to dismiss in an adult murder case. No appellate court has found that an individual moving to seal her juvenile record after satisfying the requirements of RCW 13.50.050 must also satisfy the "*Ishikawa*" factors. The proposed Court Rule goes beyond and, in our view, contrary to the current law on sealing juvenile records.

The clarity of GR 15 is useful for adults moving to seal their criminal history – because there is no statute that sets forth the requirements for sealing adult criminal history and appellate courts have interpreted *Ishikawa* to apply to adult criminal history records. For juvenile offense history, however, the legislature has created a framework that balances the privacy rights of children against the public's interest in open administration of justice and the rehabilitation of juvenile offenders. RCW 13.50.050 sets forth explicit requirements for both adjudication (conviction) and non-adjudication (non-conviction) information. It addresses diversions, deferred dispositions, the social file and other agency records. It specifies notice requirements and what the effect of the sealing order has on the juvenile's offense information held by various agencies. Sealing orders pursuant to RCW 13.50.050 serve to seal not only court records, but records held by juvenile court probation departments, police departments, the Washington State Patrol and the Juvenile Rehabilitation Administration.

The simple solution is to exclude language that brings juvenile offender records from GR 15 and simply include a provision that states:

"The sealing of juvenile offense records shall be governed by RCW 13.50.050."

² SHB 1651 was introduced in the 2013 session and proposed making a majority of juvenile offender records confidential. The bill passed out of the House unanimously and was significantly amended and passed out of the Senate before dying in the Rules Committee.

Thank you for your attention to these important matters.

Sincerely

A handwritten signature in blue ink, appearing to read "Paul Alig". The signature is fluid and cursive, with a small flourish at the end.

Paul Alig
WSBA Juvenile Law Section
Co-Chair

Cc: Chori Folkman, WSBA JLS Co-Chair
Juvenile Law Section Executive Committee

July 16, 2013

JIS Data Dissemination Committee
c/o Stephanie Happold
Data Dissemination Administrator
Administrative Office of the Courts

RE: Comments on the Proposed Policy to Limit Bulk Distribution of JIS juvenile records and Amendments to GR 15

Dear Members of the JIS-Data Dissemination Committee:

Thank you for the opportunity to comment on the proposed amendments to JIS policy and GR 15. As one of the co-founders of the King County Juvenile Records Sealing Clinic, author of *Beyond Juvenile Court: Long Term Impact of a Juvenile Record*, and a member of the 2011 Joint Legislative Task Force on Juvenile Records, I have spent many years dedicated to assisting young people overcome the barriers created by having a juvenile record in Washington State. I appreciate the work your committee has done and is doing to move toward assuring accuracy and fairness in the dissemination of these records by the Judicial Information System.

Proposed JIS Policy: (New) VI. LIMITATION ON DISSEMINATION OF JUVENILE OFFENDER COURT RECORDS

The proposed amendment to JIS policy (1) limiting the bulk distribution of juvenile records to private data aggregating companies and (2) removing juvenile cause numbers from the statewide index on the Washington State Courts website is a step in the right direction. Thank you for addressing some of the concerns raised during your last meeting – specifically in the second section concerning the public website. Although young people from Washington will continue to be at a great disadvantage compared to youth from the 42 states that do not disseminate juvenile criminal history information to private companies, the policy may ensure that consumer reporting agencies sell only up to date juvenile criminal history information by utilizing a JIS-link account. This should prevent these companies from distributing juvenile record information that may have been sealed during the time period between quarterly updates. I say “may” and “should” because questions remain about how this will work, specifically:

1. What happens to the juvenile criminal history data that has already been distributed through the bulk distribution contracts before this policy goes into effect? Will the new contracts result in or require removing the previously transferred juvenile criminal history from their databases? If it does not, what happens to juvenile records that have been transferred pursuant to the old

contracts but are sealed after this policy goes into effect? Will the companies be distributing sealed juvenile records?

2. Similarly, the same companies who subscribe to bulk data distribution also have JIS-Link accounts. Assuming this policy goes into effect and they have to use the JIS- Link accounts to access juvenile information, is there anything that keeps these companies from storing the information and continuing to distribute it forever regardless of a subsequent sealing order?
3. How will the large data aggregators respond to this new policy? Will they run a separate JIS-Link search for each background check they provide to their customers if they wish to obtain the juvenile record information? Will that resolve the issue of sealed records if they store the records and distribute them?

It would be helpful to have some of these questions answered before adopting the policy. The subjects of the juvenile records, particularly those who are able obtain sealing orders, should be able to know what risks remain for dissemination. I understand that all questions probably can't be answered for all of the companies who use this data. Nevertheless, because these records have the potential to destroy livelihoods, the issues presented deserve a careful look.

Proposed Amendments to GR 15

The proposed amendments provide needed clarity regarding sealing adult criminal history records. However, as I have consistently asserted before this committee – **juvenile criminal history records should be treated differently from adult criminal history records.** While the proposed amendments do make some provision for differences between juvenile and adult records, for example not including the juvenile's name in the court indices after a sealing order is entered, the proposed rule would treat juvenile records identical to adult records by requiring proponents of sealing to satisfy the *Ishikawa* factors. This is unnecessary and not required by law. To date, appellate courts in Washington have not addressed whether the *Ishikawa* factors must be considered when individuals move to seal juvenile records pursuant to RCW 13.50.050.

RCW 13.50.050 Provides Clear Guidance for Sealing Juvenile Records

The legislature set out clearly in RCW 13.50.050 the method for sealing juvenile records; consistent with the Juvenile Justice Act and as an integral part of the system that Washington has established to provide both accountability and rehabilitation for juveniles who are accused of crimes. The language of RCW 13.50.050 broadly covers both conviction and non-conviction data (or more precisely adjudication and non-adjudication data):

(11) In any case in which an information has been filed pursuant to RCW 13.40.100 or a complaint has been filed with the prosecutor and referred for diversion pursuant to RCW 13.40.070, the person the subject of the information or complaint may file a motion with the court to have the court vacate its order and findings, if any, and, subject to subsection (23) of this section, order the sealing of the official juvenile court file, the social file, and records of the court and of any other agency in the case.

The statute goes on to specify eligibility, notice and other requirements juveniles must meet to obtain a sealing order from the juvenile court. The statute provides for the sealing not only of the official juvenile court file, but also all records held by police, probation and other agencies pertaining to the juvenile offense.¹ The intent of the legislature is clear: juveniles should be allowed a clean slate once they meet the statutorily set forth criteria. The legislature balanced the interest of the public, victims and juveniles in creating this scheme and this committee should not recommend imposing additional requirements upon juveniles which are not required by law and which are counter to the rehabilitative purposes of the Juvenile Justice Act.

I will not repeat here the many ways in which adolescents and adults are different and why our response to their misbehavior should be different. The U.S. Supreme Court has set forth the constitutional differences between children and adults in *Roper v. Simmons*, 543 U.S. 551 (2005); *Graham v. Florida*, 560 U.S. __ (2010); *J.D.B. v. North Carolina*, 564 U.S. __ (2011) and, most recently *Miller v. Alabama*, 567 U.S. __ (2012). The Washington State Supreme Court has yet to consider whether juveniles should suffer from the stigma of a publically disseminated juvenile record in the same manner as adults – but when and if it does consider this issue, it will have the benefit of the large body of social and neurological science available to it, as did the U.S. Supreme Court in its most recent decisions.

A simple solution: refer to RCW 13.50.050 in the body of GR 15 as the sole mechanism for sealing juvenile records and remove language including juvenile adjudication records from the sections that govern sealing adult criminal history records. This suggestion has been proposed by the WSBA Juvenile Law Section and agreed to by the Washington Defender Association. It makes sense.

¹ In practice, juvenile courts issue one sealing order sealing both the court record and the juvenile social file and other records. The proposed amendments to GR 15 would complicate matters by creating a higher standard that could end up being applied to non-court records eligible for sealing under RCW 13.50.050.

Washington is already an outlier in its broad dissemination of juvenile court records – one of only 8 states that release these records without restriction. The sealing process is not perfect nor is it easily accessible to the thousands of young people who are adjudicated in juvenile courts throughout the state. But for now, it offers the only hope for young people with juvenile records who seek employment, housing and an education. We should do everything possible to reduce barriers to this sealing process – not make it more difficult.

Thank you, again, for your work as committee members to create clear and sensible rules in this increasingly complicated age of digital records. Please feel free to contact me if I can provide any additional information to assist you in your work.

Sincerely,

A handwritten signature in black ink, appearing to read 'K. Ambrose', with a long horizontal flourish extending to the right.

Kimberly Ambrose
Senior Lecturer



WASHINGTON STATE
ASSOCIATION OF
COUNTY CLERKS

Sonya Kraski, President
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July 17, 2013

The Honorable Tom Wynne, Chair
Data Dissemination Committee
C/O Stephanie Happold
Administrative Office of the Courts
1206 South Quince
Olympia, WA 98504

---SENT VIA EMAIL---

RE: WSACC Comments on Proposed Change to Juvenile Offender Data Dissemination Policy

Dear Judge Wynne:

I write on behalf of the Washington State Association of County Clerks (WSACC) to comment on the proposed change to the Data Dissemination Policy limiting access to juvenile offender records. County Clerks are opposed to this change on two fronts. First, the proposed change is a version of two tier access, with the intent of making open publicly available court records difficult to access or semi-sealed, utilizing a form of practical obscurity. This is contrary to GR 31, which states:

This rule applies to all court records, regardless of the physical form of the court record, the method of recording the court record or the method of storage of the court record.

And

The public shall have access to all court records except as restricted by federal law, state law, court rule, court order, or case law.

This proposed policy change proposes to dictate that accessibility of the record is limited to certain ways, excluding the publicly available website, and bulk distribution, but allowing the JIS link users and the regular SCOMIS users to continue to have access. This conflicts with GR 31 (b).

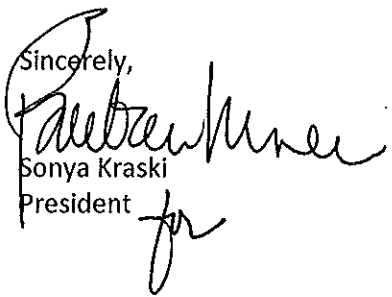
In addition, as dictated by GR 31, a restriction to access court records should be done as a law change, a rule change, a court order or case law, not in a policy change. This violates GR 31(d)(1).

The impact of these ill-advised changes is also of concern to clerks. With these restricted access methods, many more tax payers will need to come to local clerk's offices to access the index to these records. This is of consequence to clerks, as we struggle now to staff appropriately to meet the needs of our customers. Inappropriately obscuring access to juvenile records which forces in-person visits to Clerk's offices is not a policy decision we can support.

Judge Wynne
July 17, 2013
Page 2

Thank you for this opportunity to comment on this proposed policy. Please contact Barbara Miner, King County Clerk and Data Dissemination member from the WSACC, should you have questions or need more information.

Sincerely,



Sonya Kraski

President

cc: James McMahan, Executive Director, Washington Association of Counties

July 17, 2013

JUDITH A. ENDEJAN
(206) 340-9694
jendejan@grahamdunn.com

Data Dissemination Committee
Administrative Office of the Courts
P.O. Box 41170
Olympia, WA 98504-1170

Attn: Ms. Stephanie Happold
Data Dissemination Administrator
Stephanie.Happold@courts.wa.gov

Dear Committee Members:

I am writing on behalf of Allied Daily Newspapers of Washington (“ADN”), the Washington Newspaper Publishers Association (“WNPA”) and the Washington Coalition for Open Government (“WCOG”) to address the proposed changes to GR 15 under consideration by the Data Dissemination Committee.

ADN is a Washington not-for-profit association that represents 24 daily newspapers serving Washington and the Washington bureaus of the Associated Press. WNPA represents 105 community newspapers throughout the state. WCOG is a nonpartisan organization that represents a cross-section of the Washington public, press and government and that is dedicated to defending the public’s right to know in matters of public interest. Together, these organizations and their members play a crucial role in assuring the public remains informed about the operations of the judicial branch, and in giving practical effect to the state’s constitution requirement that “[j]ustice in all cases shall be administered openly[.]” CONST. Art. 1 sec. 10.

ADN, WNPA and WCOG oppose the proposed changes to CR 15, because they would undermine this constitutional commitment to open justice and would lead to denying, without justification, of a substantial volume of court records that have long been accessible to the press and public.

July 17, 2013

Page 2

We have attached a white paper that analyzes the legal and constitutional infirmities with the proposed changes.

Sincerely,

GRAHAM & DUNN PC

A handwritten signature in cursive script that reads "Judith A. Endejan".

Judith A. Endejan

JAE/ema

cc: Rowland Thompson
Bill Will
Toby Nixon
Vanessa Wheeler

**THE LEGAL AND CONSTITUTIONAL
INFIRMITIES WITH THE PROPOSED
Information System Dissemination
Policy Amendment**

GRAHAM & DUNN

2801 Alaskan Way – Suite 300
Seattle, Washington 98121-1128

Judith A. Endejan

Vanessa Wheeler

July 17, 2013

I. BACKGROUND

A new Judicial Information System Data Dissemination Policy Amendment has been proposed that would limit the disclosure of juvenile court records. The policy seeks to obscure the existence of juvenile court records by deleting them from the statewide index of court records. The exclusion of juvenile court records from court case indexes would obscure the existence of these juvenile court records, rendering it almost impossible for the public or the press to find and access them. Even if a member of the public or press was somehow able to discover independently the existence of a particular juvenile court record, the only way to attain any such record would be to subscribe to JIS Link and pay a fee. It is unclear, however, the process by which a juvenile court records request would have to be made under this system and what resources would be available to aid requesters seeking such records. Additionally, the subscription fee for the JIS service is fairly expensive, particularly for individuals, single legal practitioners, or small law firms.

This memorandum explains why this new policy amendment could violate the right of the public and the press to the open administration of justice under the Washington Constitution. As set forth below, the proposed policy amendment would violate the constitutional rights of the public and the press and offer little protection to the reputations of the juveniles meant to be the policy's beneficiaries. Consequently, the policy amendment should not be adopted, and the current system for disclosing juvenile court records should remain in place.

II. REASONS TO REJECT POLICY AMENDMENT

- A. A records policy that restricts access to juvenile court records violates the constitutional right of the public and the press to the openness of judicial proceedings and records.**

Under the constitution of the State of Washington, the public is guaranteed the open administration of justice. *See* Wash.Const.Art. 1, § 10. The open administration of justice assures the public and the press a constitutional right to access court records and proceedings in civil and criminal cases. *See Hundtofte v. Encarnacion*, 169 Wn.App. 498, 280 P.2d 513, 518 (2012) (*rev. granted* 176 Wn..2d 1019); *State v. DeLauro*, 163 Wn..App. 290, 258 P.3d 696, 699 (2011). Openness in judicial proceedings and documents is necessary in order to maintain public faith in the “fairness and honesty” of the court. *Allied Daily Newspapers of Washington v. Eikenberry*, 121 Wn.2d 205, 848 P.2d 1258, 1261 (1993). Any limitation on the openness of judicial proceedings or records requires careful consideration and justification. *See Dreiling v. Jain*, 151 Wn.2d 900, 93 P.3d 861, 864 (2004).

Washington courts have made it clear that any limitation on the public and press’s right to access court records is an infringement on that right. By this amendment, the proposed limitation on the visibility and dissemination of juvenile court records is in clear violation of the right to open judicial administration. The present policy allows free, meaningful public access to the statewide court case index, which currently includes juvenile records in the court files. The proposed policy amendment, in completely removing reference to juvenile court cases in the statewide case index, would substantially impair the ability of the public and the press to even identify what juvenile court records might exist. Although the new policy amendment will still allow access to juvenile court records, such access would no doubt require court or administrative intervention in order to determine if a juvenile record exists in the first place. Once a juvenile court record had been identified and requested, access would only be available through a service that requires the payment of a significant fee. Under these circumstances the removal of juvenile records from the court case indexes available to the public, and the

imposition of a fee in order to access juvenile court records once their existence is known, is a limitation on the openness of judicial records, in violation of the constitutional rights of the public and press to open access.

B. The privacy interests of juveniles as a class do not outweigh the constitutional right of the public and the press to access court records and proceedings nor the mandate to assess court record restrictions on a case-by-case basis.

The constitutional right to open administration is not absolute, but courts must begin with the presumption of openness. *See State v. McEnroe*, 174 Wn.2d 795, 279 P.3d 861, 863 (2012). In order to restrict access to court records or proceedings, a court must conduct a case-specific assessment as to whether there exists a fundamental interest significant enough to override the public's constitutional right to the open administration of justice. *See Hundtofte*, 280 P.2d 513 at 519. In the course of this analysis, the court must follow five steps: 1) the proponent of restriction must make a showing of need for such restriction; 2) individuals present when the motion for the restriction is made must be given an opportunity to object; 3) a determination must be made as to whether the suggested method of restriction would be both the least restrictive means possible and effective in protecting the threatened interests; 4) the court must weigh the conflicting interests of the defendant and the public and press and consider any possible alternatives; and 5) the order to restrict court records or proceedings must be no broader than necessary. *See Seattle Times Co. v. Ishikawa*, 97 Wn.2d 30, 640 P.2d 716, 720-21 (1982). A statute that restricts the disclosure of information about juveniles involved in court proceedings violates the constitutional right of the public and the press to open judicial administration if it does not provide for individualized assessment of whether restrictions are necessary in each case. *Allied Daily Newspapers of Washington v. Eikenberry*, 121 Wn.2d 205, 848 P.2d 1258, 1260 (1993) (striking down a statute that prohibited disclosure of the names and

other information about child sexual assault victims, despite the compelling interests of protecting “child victims from further trauma and harm” and ensuring their privacy).

In order for a restriction on the dissemination of juvenile court records and the omission of reference to those records in the court case index to be considered constitutional, the privacy interests of the *individual* juveniles involved would need to outweigh the right of the public and press to openly access court records. Additionally, the compelling nature of those interests would need to be subjected to the individualized analytic process established in *Seattle Times Co. v. Ishikawa*. The privacy interest of juveniles as a class is unlikely to be able to overcome either the right of the public and the press or the *Ishikawa* guidelines after the ruling in *Allied Daily Newspapers of Washington v. Eikenberry*.

First, though the privacy rights of the class of juveniles may be significant, they cannot rationally be greater than those of child victims of sexual assault.¹ Yet, in *Eikenberry* the court did not find a sufficient compelling interest to uphold a statute restricting the disclosure of their information where privacy interests as well as the health and well-being of the children victimized were implicated. In contrast the proposed policy amendment is premised upon protecting the reputational interests of juveniles. Clearly if the interests of those child victims failed as a valid justification for a broad statute prohibiting disclosure of child victims’ information without individualized consideration, the interests of the juvenile defendants must fail in the instant situation as well. Though the privacy, reputational interests of a particular juvenile may be compelling enough to overcome the constitutional right of the public and the press to the open administration of justice, that determination must be made on a case-by-case basis according to the *Ishikawa* guidelines in order to be constitutional. This individualized

¹ In fact, the Governor of Washington vetoed a section of the statute at issue in *Allied Daily* that would have extended the same privacy-driven restrictions to juvenile offender proceedings as it did to child victims.

process, which takes into account the specific needs of each child in the particular circumstance of his or her case, is considered appropriate to protect the very compelling interests of child victims of sexual assault and should adequately protect the privacy interests of juveniles.

Second, even if one initially ignored the mandate for individualized analysis, the proposed policy itself would fail under the *Ishikawa* guidelines, specifically the third guideline, as it is not the least restrictive effective means to protect the interests in question. For one, the means chosen is not the most effective method of protecting the reputations of the juveniles involved. Unlike the system used for limiting access to information about child victims, which completely restricts access to court records involving individual children for whom that is deemed necessary, the proposed policy amendment would still allow access to all juvenile records to those who know what records they are looking for and who are willing to pay. Furthermore, the method chosen is not the least restrictive on the constitutional rights of the press and public either, as it creates a broad limitation on discovery of and access to all juvenile court records, regardless of whether such limitation is necessary in individual cases. The new policy amendment would not only make it more difficult to access juvenile court records, by imposing a significant subscription fee to obtain them, but more importantly it would shield those records by obscurity. The public and the press simply would have no starting place to search for juvenile court records, which would no longer be referenced in any statewide case index. Unlike with most other court records, the existence of juvenile court records would be erased from the public view, accessible only through specific requests by those to whom their existence is already known.

A far more effective, and less restrictive, measure for protecting the privacy of juvenile offenders who need such protection would be to use the process currently available under GR 15, that of closing and sealing court procedures and records on a showing of necessity. In that way,

those individual juveniles who have privacy concerns may have their privacy completely protected, rather than available for a fee, and the public and press will still have reasonable and free access to the court records to which they are constitutionally entitled. Courts know how to handle access to their records, free of legislative constraints, because they are not subject to the state Public Records Act, RCW ch. 42.56. *City of Federal Way v. Koenig*, 167 Wn. 2d 341, 271 P. 3d 1172. Such a substantial change to the management and accessibility of court records should not be initiated in a data dissemination policy. The openness of the judicial process is far too fundamental to the integrity of the court system to implement a change to public access to court records through such an inappropriate forum.

Finally, such a substantial a change, that affects such a meaningful right of the public and the press, should only be approved and instituted by a General Rule.

From: [Toby Nixon](#)
To: [Happold, Stephanie](#)
Cc: anewspaper@aol.com; "Bill Will"; president@washingtoncog.org
Subject: Comments on proposed changes to Data Dissemination Policy
Date: Wednesday, July 17, 2013 6:03:58 PM

July 17, 2013

Data Dissemination Subcommittee
c/o Stephanie Happold
Administrative Office of the Courts
P.O. Box 41170
Olympia, WA 98504-1170

Dear Committee Members:

On behalf of Washington Coalition for Open Government (WCOG), Allied Daily Newspapers of Washington (ADN), and Washington Newspaper Publishers Association (WNPA), thank you for the opportunity to comment on the proposed new Section VI. LIMITATION ON DISSEMINATION OF JUVENILE OFFENDER COURT RECORDS in the JUDICIAL INFORMATION SYSTEM DATA DISSEMINATION POLICY.

As you are already well aware from our numerous discussions with you over the last two-and-a-half decades, we have numerous concerns with the concept and execution of a two-tiered access policy to court records of any kind. It is an issue that we thought had been put to bed so many times over the years that it was finally truly asleep.

The last major public hearing on this issue was in November 1999 when Justice Talmadge was chair of JISC and Judge Gross was chair of the data dissemination subcommittee. JISC rejected two-tiered access then, and has continued to reject requests for two-tiered access by the proponents of this closure on a cycle of about every twenty-four months since then. At no time in any of those discussions has this subcommittee entertained the notion that is proposed here, and this subcommittee and the larger JISC have repeatedly soundly rejected this idea as being antithetical to Washington's adherence to the constitutional principle of open courts and open court records.

The impetus for this proposal appears to be the introduction of bills into the Washington State Legislature during the past few sessions to close access to juvenile court records almost in their entirety. None of these bills have been successful in being enacted into law, and in our view would suffer from a number of constitutional and separation of power problems in their implementation. The fact that these bills have repeatedly failed is an indication that the policy espoused is not supported.

Another impetus cited in the proposed GR 15 rule change also being cited by this subcommittee in their authorities for the change is outgoing Senator Debbie Regala's 2012 one-legislator task force referred to as the "Joint Legislative Court Records Privacy Workgroup". Nothing of substance resulted from that series of meetings in the legislative arena, and it is odd to see it being used as a driver for this current effort in the judicial branch since only one member of the judiciary participated in those meetings: Judge Wynne, chair of this sub-committee. We thank Judge Wynne for allowing us to participate in the public hearing held on this policy change and GR 15 proposal in Everett two months ago and for his continued dialogue with us on these proposals; we could ask for nothing more from him as a sub-committee chair than for full hearing of our concerns. We are distressed by his initiative here.

In separate correspondence to you, our legal counsel has more fully laid out the legal arguments against the proposed changes. We would now like to comment on the very practical aspects that may be associated with implementing the proposed changes. Here are questions that come to mind:

1. If there is no *statewide* online index of these case files, will there be *local* indexes of these case files through which a requestor could determine the existence of the case the requestor might seek?
2. If there is no electronic or online index of cases available to the public, would requestors need to query the clerks and administrators of local jurisdictions for the information sought? or would they query AOC staff for those searches? Is there any liability associated with an insufficient search?
3. What would constitute a "bulk distribution" from the JIS? Would that be more than a single case or cases about an individual? Or would it be all of the cases filed in a jurisdiction or entered into JIS in a day or an hour?
4. If neither an online index or bulk distribution is available, would individual case records still be available online, if the case number is known? If so, has JIS considered the impact on servers of renewed "screen scrapping" of the data from individual case records, since this was the reason the bulk distribution system was created in the first place?
5. If no online access is available at either the state or local level, how will court staff deal with requests for case records, since there will likely be a significant increase in verbal or written requests once the index is not viewable without staff involvement? Will requestors be sent to local jurisdictions, or will AOC staff resources be committed to aid requestors who email or call for information on juvenile criminal cases that they cannot view or request electronically?
6. Will responses to staff-filled requests be emailed or mailed? How will the costs associated with these filling these requests be accounted for?
7. Will any AOC funds be directed to local courts to help defray the costs associated with dealing with emailed, telephoned and in-person requests? Have local courts been prepared to begin handling the volume of requests that may devolve back onto them as a result of this proposed change, and the staff and other costs? How will court clerks seek offsetting funds from AOC for the costs that this change will engender?
8. Will attorneys have access to the index? Will their offices? Will law enforcement? Will other federal, state and local government agencies? Will non-governmental agencies tasked with dealing with families, foster children, youth services, or other social services? Will the clinics who work with persons seeking to seal their juvenile records? Will schools? Will the military? Eliminating general access to a statewide online index will likely reveal many other frequent users of these records, who are legally required to have access to the records for mandatory background checks, legal research, and other purposes.

It is important that the subcommittee consider these and other very practical impacts of the proposed changes, and the significant impact on both state and local court budgets and workload, in addition to the legal arguments we have raised separately.

Thank you for your consideration of these comments.

Respectfully Submitted,

WASHINGTON COALITION FOR OPEN GOVERNMENT
Toby Nixon, President

ALLIED DAILY NEWSPAPERS OF WASHINGTON
Rowland Thompson, Executive Director

WASHINGTON NEWSPAPER PUBLISHERS ASSOCIATION
Bill Will, Executive Director



STATE OF WASHINGTON MINORITY AND JUSTICE COMMISSION

COMMISSION MEMBERS

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Co-Chairperson
Washington State Supreme Court

Judge Mary I. Yu
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Ms. Karen Murray
Associated Counsel for the Accused

Ms. P. Diane Schneider
National Latino Peace Officers Association

Judge Mariane C. Spearman
King County Superior Court

Justice Debra L. Stephens
Washington State Supreme Court

Mr. Jeffrey C. Sullivan, Retired
United States Attorney

Judge Greg D. Sypolt
Spokane County Superior Court

Judge Vicki J. Toyohara
Judge Pro Tem

Judge Dennis D. Yule, Retired
Benton-Franklin County Superior Court

August 27, 2013

Justice Mary Fairhurst
Members of the Judicial Information System Committee
Washington State Supreme Court
415 12th Avenue SW
P.O. Box 40929
Olympia, Washington 98504

Dear Justice Fairhurst and members of the JISC:

On behalf of the Minority and Justice Commission, I am writing in support of the Data Dissemination Committee's proposal to amend the policy regarding dissemination of juvenile offender court records. While not a complete solution to addressing the confidentiality of juvenile records, removing the records from the public Washington Courts' website and from the bulk distribution will help ensure that publicly available juvenile records are accurate and timely. It will address some concerns regarding the timeliness of records provided by consumer reporting agencies. The proposal will also prevent misuse of incomplete information that is currently available on the public website.

We share the concerns of the WSBA Juvenile Law Section regarding juvenile records and GR 15, and trust that the Committee will continue to review these concerns and give them serious consideration.

Thank you for your ongoing work and commitment to serving our courts and the public.

Sincerely,

Judge Mary Yu
Co-Chair, Minority and Justice Commission

cc: Justice Charles Johnson
Commission members

TALMADGE/FITZPATRICK
18010 SOUTHCENTER PARKWAY
TUKWILA, WASHINGTON 98188
(206) 574-6661 (206) 575-1397 FAX
EMAIL: PHIL@TAL-FITZLAW.COM

August 28, 2013

Justice Mary Fairhurst
Chair, Judicial Information System Committee
Washington State Supreme Court
PO Box 40929
Olympia, WA 98504-0929

Re: *September 6, 2013 JISC Meeting*

Dear Justice Fairhurst:

I am writing to you on behalf of the Rental Housing Association of Washington ("RHA"), a statewide organization of over 5000 rental housing owners and managers, to express its concerns regarding any proposed amendments to GR 15, 31 and the recent decision of the JISC Data Dissemination Committee to prohibit the bulk dissemination of juvenile offender court records in JIS by AOC.

As you know, JISC's Data Dissemination Committee is considering extensive amendments to GR 15, the courts' rule addressing the sealing and redaction of court records, and GR 31, relating to access to court records. At its July 31 meeting, the Committee specifically voted to amend its policy on data dissemination to "exclude from any bulk distribution by the Administrative Office of the Courts [juvenile offender records] otherwise authorized by GR 31(a), except for research purposes as permitted by statute or court rule." RHA believes that such a step is a serious move contrary to transparency in JIS. RHA wants to provide you its background thoughts on any GR 15/31 amendments and the decision regarding bulk dissemination of juvenile offender records.

RHA has the highest respect for Judge Thomas Wynne, as chair, and the members of the Data Dissemination Committee. The Committee's task is a most serious one. However, RHA believes that the Data Dissemination Committee *assumed* that it needed to act with respect to juvenile records based on the alleged interest of the Legislature on that topic. The Committee has overstated legislative "concern" on the issue. Moreover, any such action on juvenile records is inconsistent with the policy on data

dissemination RHA believes should animate JISC's efforts. Finally, any JISC decision on GR 15/31 or juvenile records should await the Supreme Court in *Hundtofte v. Encarnacion*, 169 Wn. App. 498, 280 P3d 513 (2012), *review granted*, 176 Wn.2d 1019 (2013).

(1) The Legislature Has Not Directed Action by the Data Dissemination Committee Decision on Juvenile Records

On the legislative issue, Senator Debbie Regala (who retired after the 2012 session) sponsored SB 5019 in the 2011-2012 legislative cycle. That bill purported to restrict access to "non conviction records" relating to individuals in the criminal justice system. That bill did not pass. In 2013, SB 5341 was introduced in which the Legislature called upon the Supreme Court to adopt court rules to implement "public policy interests" associated with offender non-conviction records. That bill did not even receive public hearing.

Similarly, HB 1651 was introduced in the 2013 session to restrict access to the court file of juvenile offenders. This legislation also failed.

Thus, efforts to limit access to court records, particularly those of juvenile offenders, have shifted from the Legislature to JISC and the Data Dissemination Committee when the legislative efforts were unsuccessful. The Legislature has not asked JISC to act. JISC should not tolerate this forum-shopping.

(2) The Proper Policy for JIS Data Dissemination

RHA believes that it is entirely appropriate for JISC and its Data Dissemination Committee to establish appropriate *procedural* standards by which the public seeks to seal, redact, unseal, or access court records. However, on the public policy as to which court records may be accessed, *substantive* access policy, RHA strongly believes that this is a matter for legislative policymaking where the broader opportunities for public participation can come into play.

The starting place for any discussion of access to court records should be the policy of *transparency*. The people themselves articulated this policy when they enacted Initiative 276:

The people of this state do not yield their sovereignty to the agencies that serve them. The people, in delegating authority,

do not give their public servants the right to decide what is good for the people to know and what is not good for them to know. The people insist on remaining informed so that they may maintain control over the instruments that they have created. This chapter shall be liberally construed and its exemptions narrowly construed to promote this public policy and to assure that the public interest will be fully protected.

It is no different for court records, as GR 31(a) itself has acknowledged, particularly where article I, § 10 of our Constitution is also implicated.

RHA opposes any effort by amendments to GR 15 and 31 or the Data Dissemination Policy to enact substantive changes on access to court records. The policy of access announced in GR 31(a) should remain intact and JISC and the Data Dissemination Committee should not be a forum for enacting substantive changes that detract from a policy of public access to court records. The Legislature, with its broader opportunities for public participation, is the more appropriate forum for such efforts.

Specifically, RHA believes that an amendment to the Data Dissemination policy forbidding bulk distribution of juvenile offender records by JIS is a *substantive* decision, and represents a first step a broader policy, contrary to principles of transparency, that attempts to restrict how and by whom records *that are otherwise public*¹ may be used. This is inappropriate.

Further, such an effort to limit access raises constitutional concerns. For example, in California, legislation was enacted limiting access to unlawful detainer information. California courts invalidated such legislation. *U.D. Registry, Inc. v. State*, 40 Cal. Rptr.2d 228 (Cal. App. 1995), *review denied* (Aug. 17, 1995), *cert. denied, sub. nom. Cisneros v. U.D. Registry, Inc.*, 516 U.S. 1074 (1996) (statute prohibiting consumer credit report from containing unlawful detainer information violated First Amendment).

(3) JISC Should Not Act Until Encarnacion Is Decided

In *Encarnacion*, the Court of Appeals determined that tenants who had settled their unlawful detainer action were not entitled to an order redacting the court records and inserting initials for their actual names.

¹ The juvenile records at issue are accessible, to the degree permitted by statute, in public court files.

August 28, 2013

Page 4

Division I concluded that article I, § 10 of the Washington Constitution on openness of judicial decisions also compelled full access to court records. That constitutional provision assured the public and the media a right to access to court documents. The policy of openness as to public records was so fundamental as to make any exception to that policy “appropriate only under the most unusual circumstances” that implicated significant interests.

The Supreme Court has granted review in *Encarnacion* and heard arguments in the case. It would be premature for JISC to make any recommendations to the Court on GR 15 or 31, or for the Data Dissemination Committee to amend the Data Dissemination Policy until the Court files its opinion in *Encarnacion*.

RHA will be present at JISC’s upcoming September 6 meeting. If I can provide additional information to you and the JISC on RHA’s behalf, please do not hesitate to let me know.

Very truly yours,



Philip A. Talmadge

cc: Bill Hinkle

Judicial Information System Committee Meeting

September 6, 2013

DECISION POINT – Amendment to Data Dissemination Policy Limiting Dissemination of Juvenile Offender Court Records

MOTION:

I move to adopt the Data Dissemination Committee's proposed amendment to the Data Dissemination Policy limiting dissemination of juvenile offender court records.

I. BACKGROUND

The JISC Data Dissemination Policy (Policy) was promulgated by the Judicial Information System Committee (JISC) pursuant to JISCR 12 and 15(d). The Policy provides guidelines for the release of Judicial Information System (JIS) data. The last time the Policy was amended was June 26, 1998.

The Data Dissemination Committee (DDC) was established by Article 7 of the JISC Bylaws. The DDC acts on behalf of the JISC to address issues regarding JIS access and dissemination of JIS data. The DDC also recommends to the JISC changes to the JIS policy and to statutes or court rules governing access to court records.

In 2009, various stakeholders appeared before the JISC and presented issues regarding the display of juvenile records in the JIS. The JISC formed a workgroup to review the Policy and the issues raised by the stakeholders. The workgroup recommended not changing the Policy because statutes allowed public access to those records.

In 2011, the Legislature formed the Joint Legislative Task Force on Sealing Juvenile Records. The Task Force presented statutory changes that made certain juvenile records confidential. The changes were not adopted in 2012 or 2013. The DDC then drafted this amendment to remove juvenile offender court records from the bulk public indexes and from the AOC publicly-accessible website. However, the juvenile records will still be available at the County Clerks' Offices and through a JIS-Link subscription.

During the DDC May 31, 2013, meeting, the draft amendment was approved and staff was asked to send the proposed amendment to interested parties for comment.

At the July 29, 2013, meeting, the DDC voted six to one to amend the Policy to include the proposed provision and to forward it to the JISC for approval. The County Clerks representative objected to and voted against the Policy amendment.

II. DISCUSSION

The amendment does not prohibit access to the juvenile offender data at the County Clerk's Office; therefore, counter time at these offices may increase. Also, the AOC will have to devote time and manpower to recode the bulk public index extracts and the publicly-accessible website. Though it may increase JIS-Link usage, AOC does not believe it will result in database performance challenges or failures.

Furthermore, current subscribers to the Public SCOMIS Criminal Index and Public SCOMIS Civil and Criminal Index will no longer receive juvenile offender records. Current subscribers were notified of these changes and asked to provide comments, which were then forwarded to the DDC and the JISC.

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 limiting dissemination of juvenile offender court records.

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.



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

Project Update

Martin Kravik, Project Manager

September 6, 2013

Recent Activities

- ✓ Ongoing contract negotiations during May – August 2013
- ✓ Proposed contract approved by the project Executive Steering Committee (ESC) on August 20
- Seeking JISC approval for contract execution

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	August, 2013
✓ Develop ESC recommendation to the JISC	August 20, 2013
Approval of the ESC recommendation by the JISC	September 6, 2013
Contract execution	September 2013
Project kickoff	October 2013
Develop the project implementation schedule	November 2013
Begin analysis and design	November 2013

Decision Point

Judicial Information System Committee Meeting

September 6, 2013

DECISION POINT – Appellate Court Enterprise Content Management System - Contract Execution

MOTION:

I move to adopt the Appellate Court ECMS Project Executive Steering Committee recommendation to execute a contract with ImageSoft Inc. to acquire and implement an Appellate Court Enterprise Content Management System.

I. BACKGROUND

The Washington appellate courts currently have no common electronic document management system. The Supreme Court uses a paper-based system, and each division of the Court of Appeals uses its own system. The appellate courts require a statewide enterprise content management system that provides robust document management, allows for the creation of user configurable business workflows, and provides integration with other business tools such as Microsoft Outlook.

In 2011, the JISC approved the purchase of an Electronic Document Management System (later renamed Enterprise Content Management System, ECMS) for the Court of Appeals and the Supreme Court, with an estimated cost of \$980,000. The system's requirements were refined, and in June, 2012, the JISC approved an integrated enterprise content management system that would provide document management, business workflow, and include the functionality of the Appellate Courts Records and Data System (ACORDS). With the information available at that time, it was believed that an integrated system could be acquired within the previously approved allocation.

In November 2012, AOC released a request for proposals (RFP) for an appellate ECMS. This RFP had a cost cap of \$850,000. Two vendors responded to the RFP, and neither response met the minimum qualifications. The project Executive Steering Committee removed the cost cap, refined and clarified the RFP requirements, and released a second RFP on January 29, 2013.

On February 22, 2013, the JISC approved an increase in the project funding allocation to \$1.5 million dollars to cover contractual costs and unforeseen project costs.

The Executive Steering Committee received four vendor proposals on March 6, 2013. Two proposals met initial screening criteria. On April 10-11 2013, the project held demonstrations with one of the vendors.

On April 17, 2013, the Appellate Court Enterprise Content Management System Project Executive Steering Committee voted unanimously to recommend that the JISC approve the selection of ImageSoft Inc. as the Apparent Successful Vendor.

On April 26, 2013, the JISC approved the selection of ImageSoft Inc. as the Apparent Successful Vendor.

II. DISCUSSION

On August 20, 2013, the Appellate Court Enterprise Content Management System Project Executive Steering Committee voted to recommend that the JISC approve the execution of a contract with ImageSoft Inc. to implement an enterprise content management system for all Washington state appellate courts.

The following table depicts project milestones and associated costs:

Project Milestone	Cost
Software (with discounts)	\$483,100
Sales Tax on Software	\$42,513
Project Management	\$171,600
Analysis and Design	\$129,360
Solution Configuration	\$240,900
Report Development	\$13,200
Testing, Documentation, and Quality Assurance	\$225,450
Document Conversion	\$79,200
Solution Deployment	\$50,160
Knowledge Transfer	\$26,400
Production Support	\$36,765
Total	\$1,498,648

Assuming a September 6, 2013 contract execution date, the initial, high-level project schedule has a completion date of May 30, 2015.

Appellate ECMS Steering Committee Recommendation

The Appellate Enterprise Content Management System Project Executive Steering Committee recommends to the Judicial Information System Committee that the Administrative Office of the Courts (AOC) should execute a contract with ImageSoft Inc. for the implementation of a Washington state appellate court enterprise content management system.

OUTCOME IF NOT PASSED –

AOC and the Project Executive Steering Committee will have to reassess their strategy for procuring a complete commercial off-the-shelf appellate court system and develop a new project approach. This may cause a significant delay in getting a new system implemented.

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

Maribeth Sapinoso, Project Manager

September 6, 2013

SC-CMS Project Status

- ✓ New Deputy Project Manager Selected
- ✓ Contract Effective Date: July 25, 2013
Signed by Tyler, Attorney General's Office, AOC
- ✓ Integration Discussion for AOC with Tyler:
August 28 & 29, 2013
- ✓ New Project Steering Committee Charter
- Project Kickoff: September 3, 2013

SC-CMS Project Status

(Continued)

Pilot Site Selection:

- ✓ 10 Responses Received for Pilot Candidates

Clark	Island	Pend Oreille	Snohomish	Thurston
Cowlitz	Lewis	Skagit	Stevens	Yakima

Approximately 25% of Total Counties in WA

- Project Steering Committee Selects Pilot Site(s)
– September 10, 2013

Active Project Risks

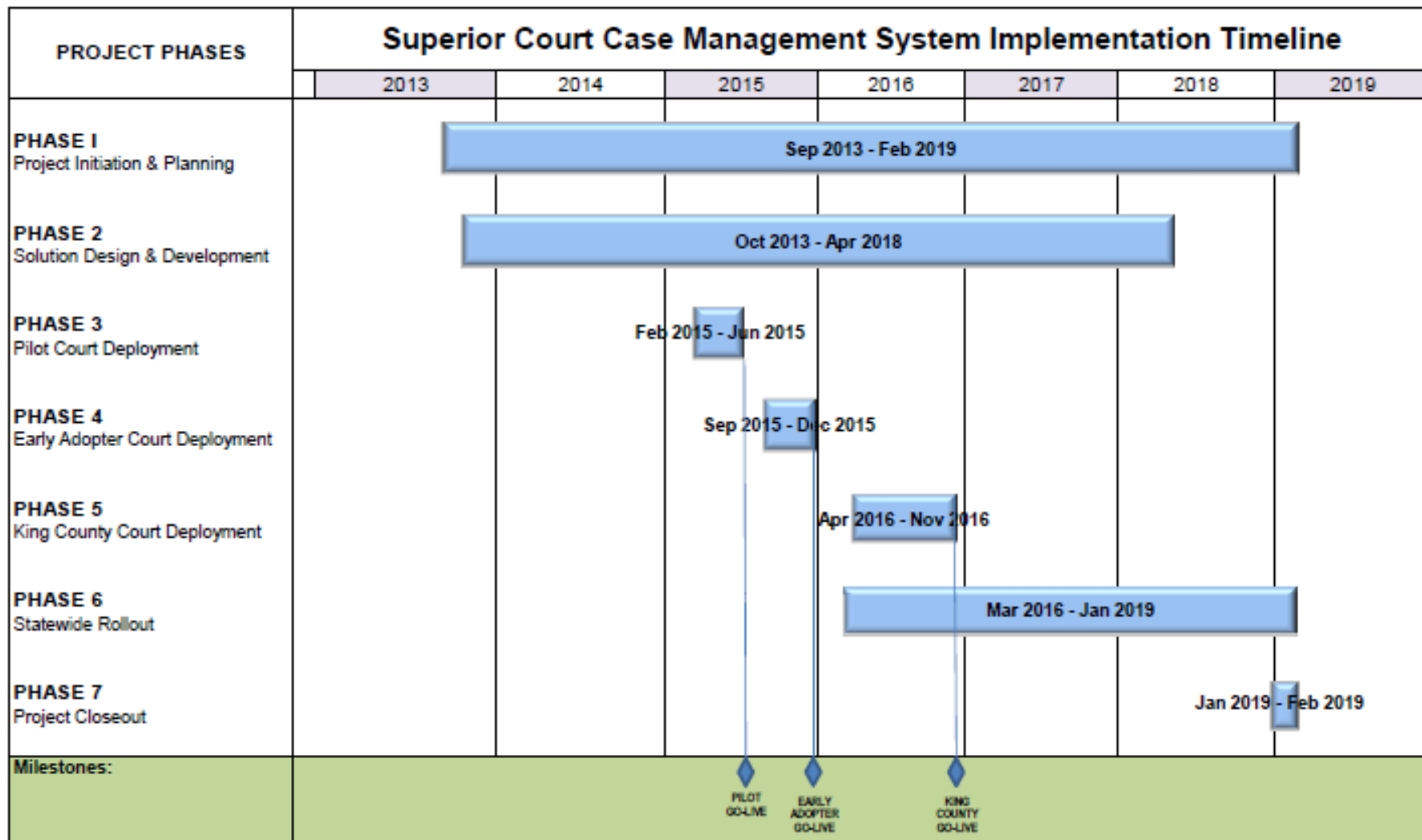
Total Project Risks			
Low Exposure	Medium Exposure	High Exposure	Closed
0	0	0	0

Significant Risks Status

Risk	Probability/Impact	Mitigation



SC-CMS High Level Implementation Schedule



Phase 1 – Project Initiation and Planning

MILESTONES or PROJECT DELIVERABLES	DATE
Project Kickoff	September 2013
Project Management Plan	October 2013
SC-CMS Core Training Plan	October 2013
Review and Certify Equipment Specification	October 2013
Complete Fit Analysis Documentation	October 2013
Complete Pre-Design Training	October 2013
Complete Fit Analysis Workshops	November 2013
Results of Requirements Fit Analysis	December 2013
SC-CMS Design and Construction Plan	February 2014
Complete Pilot, Early Adopter, and King County Deployment Plan	February 2014
Complete Long Term Deployment Plan	May 2014

**Revised Project Steering
Committee Charter**

Local Court Cost Criteria



Superior Court Case Management System

Project Steering Committee Charter

Version 1.0
August 20, 2013

Prepared by
Maribeth Sapinoso
SC-CMS Project Manager

Version History

Version	Version Date	Author	Major Version Changes	Reviewers	Review Date
1.0	08/13/2013	Maribeth Sapinoso	Original Draft	SC-CMS Project Steering Committee	08/20/2013

1 Authorizing Signatures

This SC-CMS Project Steering Committee Charter represents an agreement among Superior Court Judges' Association representatives, Association of Washington Superior Court Administrators' representatives, the Washington State Association of County Clerks' representatives, and the Administrative Office of the Courts (AOC)/Information Services Division (ISD) as authorized by the Judicial Information System Committee (JISC). My signature indicates that I have reviewed this SC-CMS Project Steering Committee Charter and concur with its contents.

_____ Date _____

Betty J. Gould
County Clerk
Thurston County

_____ Date _____

Kevin Stock
County Clerk
Pierce County

_____ Date _____

Barbara Miner
County Clerk
King County

_____ Date _____

Judge Jeanette Dalton
Superior Court Judge
Kitsap County

_____ Date _____

Paul Sherfey
Chief Administrative Officer
King County

_____ Date _____

Frank Maiocco
Court Administrator
Kitsap County

_____ Date _____

Vonnie Diseth
Director/CIO
Information Services Division
Administrative Office of the Courts

_____ Date _____

Callie Dietz
State Court Administrator
Administrative Office of the Courts

Courtesy copies provided to:

Justice Mary Fairhurst – Washington State Supreme Court/JISC Chair
Judge Charles R. Snyder, President – Superior Court Judges' Association (SCJA)
Sonja Kraski, President – Washington State Association of County Clerks (WSACC)
Jeff Amram, President – Association of Washington Superior Court Administrators (AWSCA)
Mike Fenton, President – Washington Association of Juvenile Court Administrators (WAJCA)
Brooke Powell, Liaison, Island County Administrator – Washington Association of Juvenile Court Administrators (WAJCA)
Lynne Campeau, Liaison, Issaquah Municipal Court – Courts of Limited Jurisdiction (CLJ)
Aimee Vance, Liaison, Kirkland Municipal Court – Courts of Limited Jurisdiction (CLJ)

2 Authority

This committee is chartered by the [Judicial Information System Committee \(JISC\)](#) which operates under Judicial Information System Committee Rules ([JISCR](#)) and [RCW Chapter 2.68](#).

3 Introduction

A Superior Court Case Management System (SC-CMS) Project Steering Committee was formed by the JISC to provide project oversight and strategic direction for the SC-CMS Project during the project's preparation and implementation phase. Tyler Technologies, Inc. (Tyler) was selected as the successful vendor and a contract for statewide implementation of the Tyler Odyssey product has been executed.

This charter effects the legislative mandate which states that the revised charter shall ensure that the Superior Court Case Management System Project Steering Committee continues to provide contract oversight in collaboration with the Judicial Information System Committee (JISC) through the implementation period and various phases of the project. Oversight responsibilities throughout the various phases of the project must include, but are not limited to, vendor management, contract and deliverable management, and assuring satisfaction of the business and technical needs at the local level. The Superior Court Case Management System Project Steering Committee may solicit input from user groups as deemed appropriate. The revised charter shall be approved by the Judicial Information System Committee.

4 Vision

This SC-CMS Project Steering Committee will serve as an effective decision-making team that speaks for the superior court and county clerk community with a unified vision.

5 Scope

The SC-CMS Project Steering Committee has oversight of the implementation of the Superior Court Case Management System to ensure it meets the needs of the Superior Court Judges' Association, Association of Washington Superior Court Administrators and the Washington State Association of County Clerks.

The SC-CMS Project Steering Committee will provide oversight responsibilities throughout the various phases of the project:

- Vendor Management
- Contract Management
- Deliverable Management
- Business Needs at the local level
- Technical Needs at the local level

The SC-CMS Project Steering Committee may solicit input from user groups as deemed appropriate.

6 Governing Principles

The SC-CMS Project Steering Committee has identified and adopts the following principles important to the success of the SC-CMS project:

- Continued stakeholder buy-in of the vision and technology direction.
- Open communication between committee members, sponsors, and project leadership.
- Active participation of all committee members.
- Adherence to a consistent method for conducting project reviews and resolving issues.

7 Decision Process

SC-CMS Project Steering Committee membership must be consistent to maintain continuity and minimize risk. Substitution must be kept to a minimum. E-mail voting or proxy voting is allowed. In the event that a SC-CMS Project Steering Committee member cannot attend a meeting and someone attends on their behalf as a proxy, it is the SC-CMS Project Steering Committee member's responsibility to provide project background information to their proxy. The person standing in as proxy for the SC-CMS Project Steering Committee member will have the authority to make decisions and give approval when needed.

- Formal motions will be presented for all decisions put to the committee.
- There will be a majority vote of all voting members present.
- A majority vote is enough to carry/pass a motion.
- At least one representative from each stakeholder group (SCJA/AWSCA, WSACC, and AOC) with authority to vote must be present at the time of the vote.

8 Committee Membership

Members must have the authority to make decisions and be committed to the success of the project. Total SC-CMS Project Steering Committee membership will not exceed eight (8).

- Primary Members
 - ✓ Judge Jeanette Dalton, Kitsap County
 - ✓ Frank Maiocco, Kitsap County Administrator
 - ✓ Paul Sherfey, King County Chief Administrative Officer
 - ✓ Betty Gould, Thurston County Clerk

- ✓ Kevin Stock, Pierce County Clerk
- ✓ Barb Miner, King County Clerk
- ✓ Callie Dietz, Washington State Court Administrator
- ✓ Vonnie Diseth, Information Services Division Director/AOC CIO

The JISC approved the following non-voting liaison members to ensure that communications and potential impacts to these two secondary stakeholder groups are communicated:

- Liaison Members (Non-Voting)
 - ✓ Brooke Powell, Island County Administrator – Washington Association of Juvenile Court Administrators
 - ✓ Lynne Campeau, Issaquah Municipal Court – Courts of Limited Jurisdiction (CLJ)
 - ✓ Aimee Vance, Kirkland Municipal Court – Courts of Limited Jurisdiction (CLJ)

Depending on the phase of the project, those involved in that phase may be invited to make presentations or address the committee as necessary.

9 Roles and Responsibilities

The SC-CMS Project Steering Committee and its members will:

- ✓ Monitor and review the project health at regular committee meetings.
- ✓ Provide decision support and strategic direction.
- ✓ Determine and recommend funding and other resource requirements.
- ✓ Escalate significant scope, schedule or budget changes, and risk mitigation strategies, to the Judicial Information System Committee (JISC) through the AOC ISD CIO.
- ✓ Ensure adherence, or recommend changes, to the project scope, schedule and budget.
- ✓ Address issues and risks posing major implications for the project.
- ✓ Reconcile differences in opinion and approach and resolve disputes.
- ✓ Oversight responsibilities throughout the various phases of the project must include, but are not limited to, vendor management, contract and deliverable management, and assuring satisfaction of the business and technical needs at the local level.
- ✓ Foster positive communication outside of the committee regarding the project's progress and outcomes.
- ✓ Communicate SC-CMS Project Steering Committee decisions to the groups they represent.
- ✓ Express opinions openly during the meetings.
- ✓ Review and ensure the meeting minutes accurately reflect the decisions and discussions of the meeting, and provide feedback

within three (3) business days of receiving meeting minutes if discrepancies or omissions are discovered.

- The Project Manager will:
 - ✓ Schedule the SC-CMS Project Steering Committee meetings.
 - ✓ Prepare and conduct meetings according to the agendas.
 - ✓ Ensure that all members are encouraged to provide input throughout the meetings.
 - ✓ Ensure decisions or recommendations are adequately resolved and confirmed by the members.
 - ✓ Mediate conflict.
 - ✓ Approve finalized meeting minutes to be sent to meeting participants within the same work week when possible after the meeting for review and comment.
 - ✓ Make appropriate updates to the meeting minutes based on participant feedback.

10 Meetings

There must be a quorum of four (4) primary members present to hold a meeting.

Meeting Frequency

- Meetings will be scheduled regularly every week, unless otherwise agreed, of the SC-CMS Project Steering Committee's existence (except on holidays).
- Remote access to attend via phone bridge and online access to view documents will be provided at all meetings.
- On a monthly basis (second Tuesday of the month, unless otherwise agreed), the meeting will be held in-person at a central location (place is determined by member agreement).
- The duration of each meeting will depend on the complexity of the agenda items, with a goal not to exceed one (1) hour for typical meetings and not to exceed two (2) hours when the meeting is held in-person.
- Any ad-hoc participants brought to the meeting by agreement of the members – to provide expert information on a process or subject – will be identified in advance to ensure they are included on the agenda and receive meeting materials.
- Primary and AOC members will be mandatory attendees on meeting schedule notices and every effort will be made to avoid scheduling conflicts.
- Observers will be optional attendees on meeting schedule notices.

SC-CMS Project Steering Committee meeting participants will receive the following items at least one (1) full business day before the scheduled meeting:

- Agenda
- Minutes from the last meeting
- Other documents to be considered at the meeting, if any

The SC-CMS Project Steering Committee meeting agenda will typically include:

- Project Management Update
- Issues, Risks, Decisions, if any
- Discussion of any other documents to be considered, if any
- Next Steps
- Confirmation of date, time and venue for the next meeting
- Other items as needed

Special Meetings:

- Special meetings may be called by any primary member or the Project Manager, with twenty-four (24) hours advance notice.

Judicial Information System Committee Meeting, September 6, 2013

DECISION POINT – Superior Court Case Management System (SC-CMS) – Revised Project Steering Committee Charter

MOTION:

I move that the JISC approve the revised SC-CMS Project Steering Committee Charter, v1.0, dated August 20, 2013.

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.

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. The SC-CMS RFP Steering Committee was chartered to make recommendations to the JISC regarding the development and release of the RFP, and contract negotiation and execution.

On July 19, 2013, the JISC approved 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. With execution of the contract, the project completed the RFP acquisition phase. The project is now entering a new phased approach, planning and implementation, which requires the development of a new charter for the SC-CMS Project Steering Committee with new roles and responsibilities.

II. DISCUSSION

The 2013-2015 Operating Budget (Third Engrossed Substitute Senate Bill 5034) appropriates \$11,300,000 from the Judicial Information System account for continued implementation of the SC-CMS project. The budget proviso requires AOC, in consultation with the JISC, the SC-CMS Steering Committee, and the Office of the Chief Information Officer, to develop a revised charter to implement the next phases of the SC-CMS. It requires the JISC to approve the revised charter.

The proviso directs that the revised charter must ensure that the SC-CMS Project Steering Committee, in collaboration with the JISC, continues to provide contract oversight through the implementation period and various phases of the project. Oversight responsibilities must include vendor management, contract and deliverable management, and assuring the satisfaction of the business and technical needs at the local level.

III. OUTCOME IF NOT PASSED –

If the JISC does not approve the new Project Steering Committee charter, the steering committee will have to continue under the current charter that was specific to the feasibility study and RFP process. The charter will not have roles and responsibilities appropriate for this phase of the project. AOC would also be out of compliance with a legislative mandate, which could threaten SC-CMS funding.



WA State Superior Court Case Management System (SC-CMS)



Expenses will vary based on categories below, but may include Pro Tem, overtime, contract and/or backfill funds, supplies, hardware, etc. to complete the following:

CATEGORIES

PREPARATION EFFORTS

- Project Management
- Communicate to the Court and Clerk Community
- Train the Court/Clerk and Court/Clerk Community
- Conduct Readiness Assessment
- Redesign Court and Clerk Business Processes
- Redesign Court/Clerk Community Business Processes
- Revise Court/Clerk and Court/Clerk Community IT Budgets
- Plan Local Court Configuration
- Plan Local Court Data Configuration
- Plan Correspondence, Forms, and Reports
- Plan and Design Data Conversion
- Redesign Application Portfolio
- Design Interoperability
- Design Local Technical Infrastructure
- Compile Local Implementation Plans
- Clean up and prepare data for conversion

IMPLEMENTATION EFFORTS

- Project Management
- Implement Local Court and Clerk Business Process Changes
- Train Local Court/Clerk Users
- Configure Local Court/Clerk Application
- Configure and Set up user and security profiles
- Build Interfaces
- Convert Local Court/Clerk Data
- Modify Local Side systems
- Replace automated data exchanges
- Local Systems Integration Test
- Desk Top Readiness and Support
- Change local forms, correspondence and reports
- Data comparison and validation (accounting, specifically)
- Local User Acceptance Test
- Update BOXI Reports
- Implementation
- Production Ramp Up



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**

July 31, 2013

**Prepared by
Bluecrane, Inc.**



bluecrane 



Table of Contents

Part 1: Executive Summary and Assessment Dashboard	1
Executive Summary	1
<i>bluecrane</i> QA Assessment Dashboard	3
Part 2: Review of <i>bluecrane</i> Approach	9
Part 3: <i>bluecrane</i> Detailed Assessment Report for July 2013	13



Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the July 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.

The SC-CMS contract negotiations with Tyler Technologies (Tyler) were completed in July. The Steering Committee made a recommendation to the JISC at the July 19 JISC meeting to go forward with executing the Tyler contract. The JISC unanimously approved the recommendation to execute the contract, and the contract was executed on July 25. Project activities will begin September 3.

In addition to the contract completion and execution, preparations for the next phase of the project continued in July in many areas. The AOC Court Business Office continued to evolve business process models through facilitation of the Court User Work Group. 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. Preparations of the technical environment continued with the development and testing of Information Networking Hub services.

Over the last several months, the project managers and project sponsors made adjustments to the staffing plan based on the needs for system configuration and implementation activities. Because the project scope increased through negotiations with Tyler, the staffing plan is being re-evaluated to identify any additional resource requirements.

Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and will last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and



the level of service provided by the business can be degraded if resources are pulled away to perform project work.

It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved (due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.



bluecrane QA Assessment Dashboard

Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
Project Management and Sponsorship					
Governance	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>The SC-CMS contract negotiations with Tyler Technologies (Tyler) were completed in July. The Steering Committee made a recommendation to the JISC at the July 19 JISC meeting to go forward with executing the Tyler contract. The JISC unanimously approved the recommendation to execute the contract that was negotiated with Tyler over the last several months. The contract was executed on July 25.</p> <p>The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.</p>
Scope	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>The scope of the SC-CMS project is established in the SC-CMS RFP requirements and now includes the deliverables as established by the SC-CMS contract. The scope has been increased through the addition of functionality beyond the RFP requirements with the inclusion of 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. The additional modules will increase the resources required to complete the project successfully. The planning for resources to support the additional scope is underway.</p>



Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
Schedule	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>The project is utilizing a project schedule to organize, assign, and track project work. Contract negotiations concluded on schedule in July. At this time, there are no significant tasks behind schedule.</p> <p>The project is reviewing the schedule provided by Tyler in their proposal to start identifying the integration points of the implementation schedule. The project will work with Tyler during August in preparation for arrival of the Tyler team in September.</p>
Budget	N/A	Extreme Risk	No Risk Identified	No Risk Identified	<p>The Washington legislature passed a 2013-15 state budget that provides funding for the SC-CMS project. Discussions are underway to determine the level of AOC support for local implementation costs.</p>
Communication	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.</p>



Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
Staffing and Project Facilities	N/A	No Risk Identified	No Risk Identified	No Risk Identified	<p>Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff. Currently, project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors made adjustments based on the needs for system configuration and implementation activities. Because the project scope increased through negotiations with Tyler, the staffing plan is being re-evaluated to identify any additional resource requirements.</p> <p>Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and the level of service provided by the business can be degraded if resources are pulled away to perform project work. It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved (due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.</p>



Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget.
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 project team has developed a Quality Management Plan.
People					
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 “pilot courts.”
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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. Development and validation of the As-Is business processes has been completed.



Area of Assessment	Urgency	May 2013	June 2013	July 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 as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and were completed in July. A recommendation for moving forward with the contract was approved at the July 19 JISC meeting. The contract was executed in July, completing the prime vendor procurement. Vendor activities will begin September 3.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The list and schedule of vendor deliverables are confirmed in the executed contract with Tyler. Management of the contract will begin with project startup in September.
Application					
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. Update of the remaining areas will begin with the start of vendor activities in September.
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.



Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
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 interface information currently available. Additional activities will be planned as further definition of SC-CMS interface requirements are made available with the start of vendor activities in September.
Data					
Data Preparation	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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.



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	Extreme Risk: a risk that project management must address or the entire project is at risk of failure; these risks are “show-stoppers”
Risk	Risk: a risk that is significant enough to merit management attention but not one that is deemed a “show-stopper”
Risk Being Addressed	Risk Being Addressed: 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	No Risk: “All Systems Go” for this item
Not Started	Not Started: this particular item has not started yet or is not yet assessed
Completed or Not Applicable	Completed/Not Applicable: 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 July 2013

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



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

Observation: The SC-CMS contract negotiations with Tyler Technologies (Tyler) were completed in July. The Steering Committee made a recommendation to the JISC at the July 19 JISC meeting to go forward with executing the Tyler contract. The JISC unanimously approved the recommendation to execute the contract, and the contract was executed on July 25.

The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.

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

Observation: The scope of the SC-CMS project is established in the SC-CMS RFP requirements and now includes the deliverables as established by the SC-CMS contract. The scope has been increased through the addition of functionality beyond the RFP requirements with the inclusion of 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. The additional modules will increase the resources required to complete the project successfully. The planning for resources to support the additional scope is underway.



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

Observation: The project is utilizing a project schedule to organize, assign, and track project work. Contract negotiations concluded on schedule in July. At this time, there are no significant tasks behind schedule.

The project is reviewing the schedule provided by Tyler in their proposal to start identifying the integration points of the implementation schedule. The project will work with Tyler during August in preparation for arrival of the Tyler team in September.

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

Observation: The Washington legislature passed a 2013-15 state budget that provides funding for the SC-CMS project. Discussions are underway to determine the level of AOC support for local implementation costs.



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

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:	Project Management and Sponsorship	May 2013	June 2013	July 2013
Area of Assessment:	Staffing and Project Facilities	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

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

Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and will last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial



knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and the level of service provided by the business can be degraded if resources are pulled away to perform project work. It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved (due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.

Category:	Project Management and Sponsorship	May 2013	June 2013	July 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.

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

Observation: The project team has developed a Quality Management Plan.

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

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

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. Development and validation of the As-Is business processes has been completed.

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

Observation: The SC-CMS Project Steering Committee selected Tyler as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and were completed in July. A recommendation for moving forward with the contract was approved at the July 19 JISC meeting. The contract was executed in July. Vendor activities will begin September 3.



Category:	People	May 2013	June 2013	July 2013
Area of Assessment:	Contract Management / Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation/Risk: The list and schedule of vendor deliverables are confirmed in the executed contract with Tyler. Management of the contract will begin with project startup in September.

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

Observation: The SC-CMS Architecture Plan has been updated to identify information known at this point. Update of the remaining areas will begin with the start of vendor activities in September.



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

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

Observation: The INH and COTS-Prep Application projects are defining and preparing interfaces using the interface information currently available. Additional activities will be planned as further definition of SC-CMS interface requirements are made available with the start of vendor activities in September.



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

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

September 6, 2013

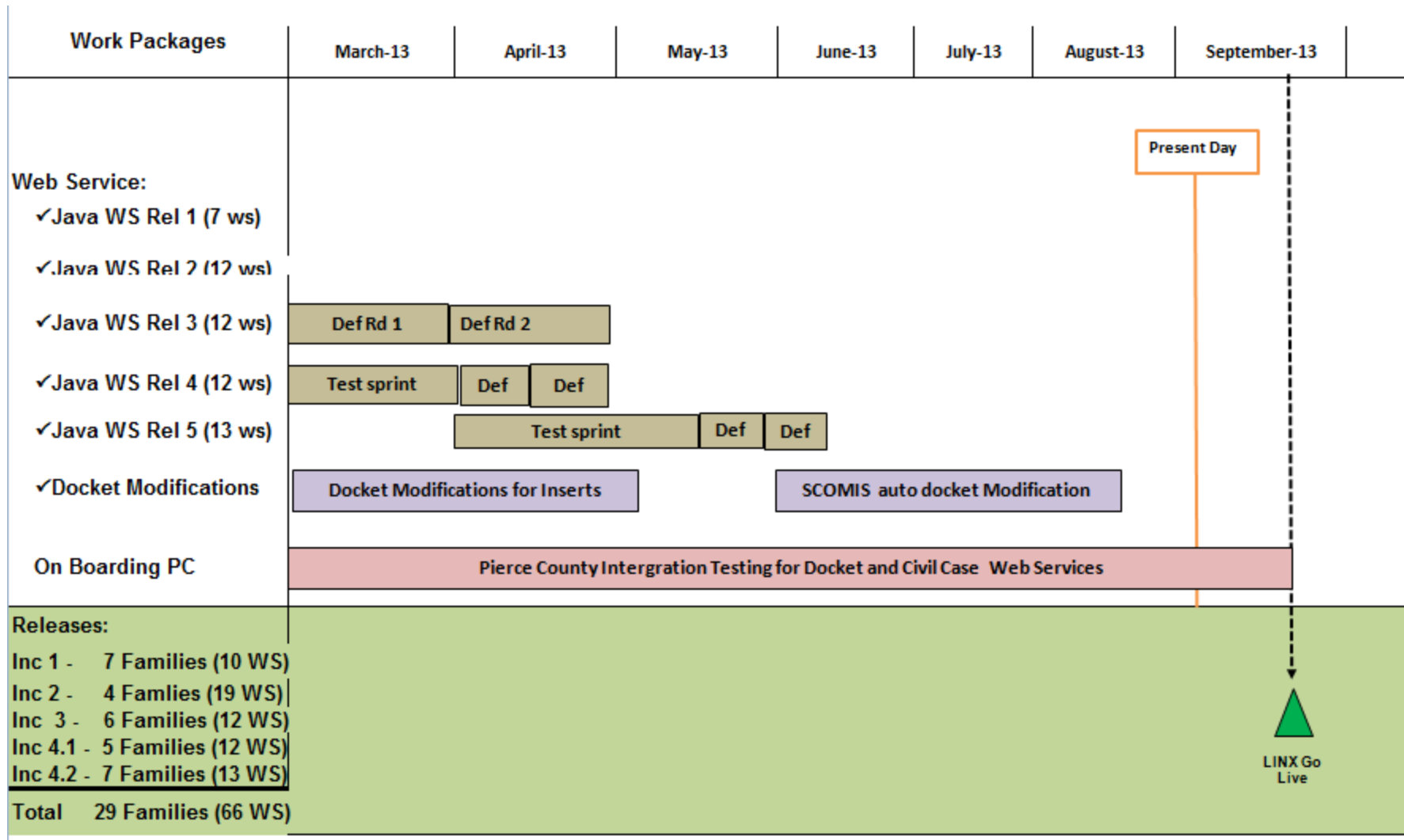
Recent Activities

Pierce County data exchange on-boarding:

- ✓ AOC has deployed a small change to SCOMIS to eliminate issue Pierce County encountered with duplicate docket entries
- ✓ AOC also deployed new security protocol to comply with new Pierce County standard
- ✓ Pierce County resumes testing
- ❑ Pierce County's implementation of all 6 services is planned for September 2013



Schedule





Active Project Issues

Low Urgency	Medium Urgency	High Urgency	Closed
0	0	2	1

High Urgency Issues Status

Issue	Urgency/Impact	Action
SCDX team does not have LINX business knowledge – this may be an ongoing issue for on-boarding activities of other services	High/High	<ul style="list-style-type: none"> • Accept risk and continue to use available ISD and Pierce County court resources where appropriate
Docket service integration problem with judgment dockets	High/High	<ul style="list-style-type: none"> • AOC has implemented SCOMIS change to correct issue • Awaiting verification by Pierce



Next Steps

Milestone	Date
Pierce County starts using Docket and Civil Case services	September 2013
AOC supports Pierce County, King County and any other customers as they start consuming services	On-going
Post implementation follow up	December 2013

ITG Request 41 - CLJ Revised Computer Records Retention and Destruction

Project Update

Kate Kruller, PMP - Project Manager

September 6, 2013



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 million active cases were restored from 1,080 archive tape volumes six weeks ahead of schedule
- ✓ Provided Project consultation as needed for policy update:
 - Provided project information needed for May draft policy update
 - Providing project information needed for policy Work Group deliberations
- ✓ Development underway:
 - Preparing JIS to accommodate current and preliminary rules (administrative tables, selection criteria, destruction criteria, reporting process)



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 – October, 2013**
 - No additional cases are being archived
 - No cases are being destroyed during this process

- **Test /Implementation Planning, November – December, 2013**
 - Rigorous system testing prior to deployment
 - Steering Committee approves implementation process

- **JIS CLJ Archiving is Decommissioned, January, 2014**
 - Updated Destruction of Records Report (DORR)
 - Preliminary rules applied to cases in active tables (current rules, plus eTicket and VRV compliance rules)

- **Apply Revised Rules - June, 2014:**
 - New records retention and destruction rules applied to active tables

Information Networking Hub (INH)

Project Update

Dan Belles, PMP - Project Manager

September 6, 2013

Recent Activities

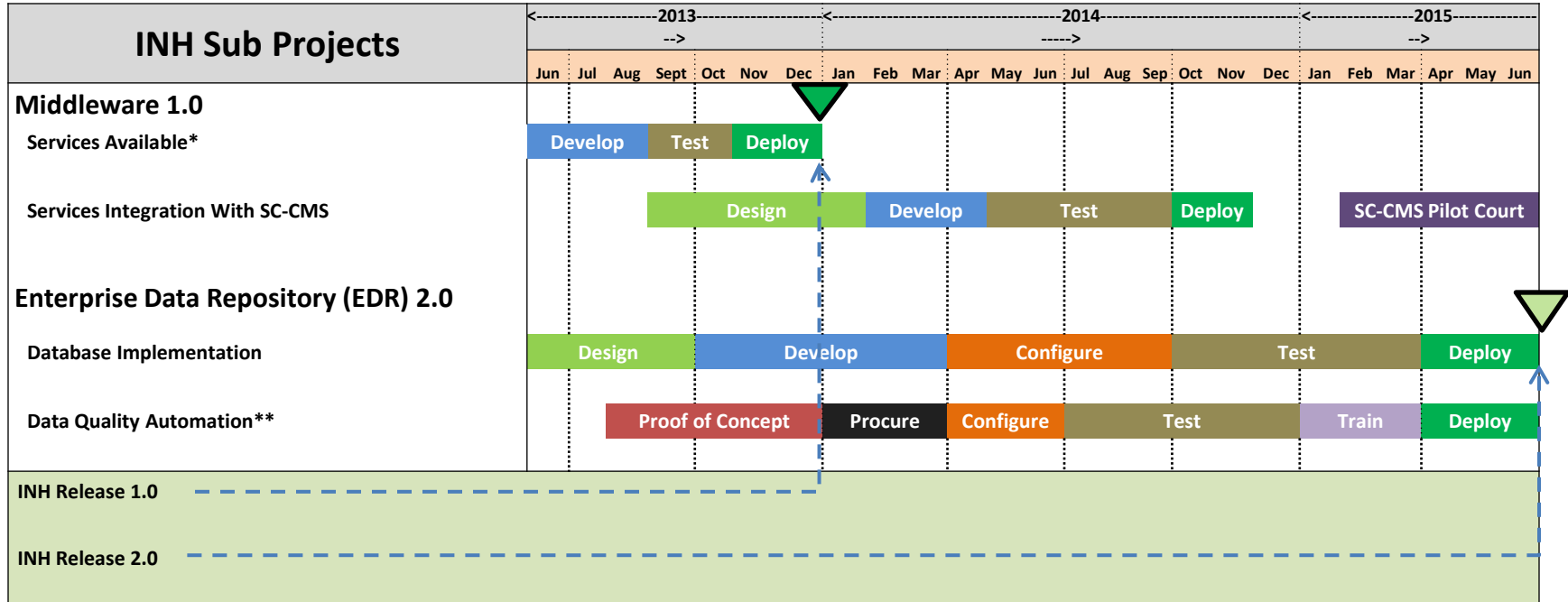
INH Middleware Data Exchanges (SC-CMS Ready)

- ✓ Developed 7 Data Exchanges
- ✓ Tested 17 Data Exchanges
- ✓ Resolved 20 Defects
- ✓ Completed Internal INH Integration Strategy Review
- Integration Strategy Technical Discussion With Tyler

Enterprise Data Repository (EDR)

- Continue Design Review
- Continue Requirement Analysis and Solution Design

Schedule



*Services are available for analysis, testing and integration with the SC-CMS application.

** Proposed timeline subject to sponsor/stakeholder approval.



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	<ul style="list-style-type: none"> • Inter-dependent Project Coordination Team (IPCT)
Services Integration with SC-CMS Application	High/High	<ul style="list-style-type: none"> • Collaborate with SC-CMS technical team and vendor to develop an interface integration strategy

Active Project Issues

Total Project Issues			
Active	Monitor	Deferred	Closed
0	0	0	4

Significant Issues Status

Issue		Urgency/Impact	Action

Next Steps

Middleware Sub Project

Milestone	Date
Data Exchanges and BizTalk Enhancements	November 2013
Test INH Services	December 2013
Resolve Defects/Services Available For Integration*	December 2013
Integration With SC-CMS	November 2014

Enterprise Data Repository Sub Project

Milestone	Date
Complete Design Reviews	September 2013
Develop Security Model	December 2013
Develop Database Solution	March 2014
Implement Data Quality Automation	To Be Scheduled

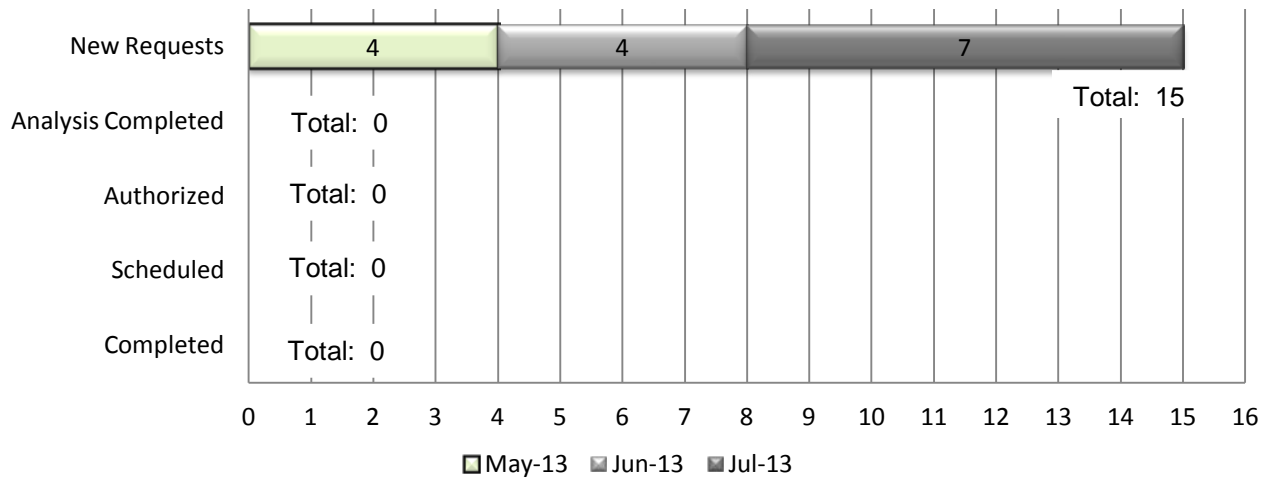
*Services will be available for integration with the SC CMS application. Additional work to resolve integration differences is anticipated – level of effort is unknown at this time.

Completed JIS IT Governance Requests

No requests were completed during the month of July.

Status Charts

Requests Completing Key Milestones



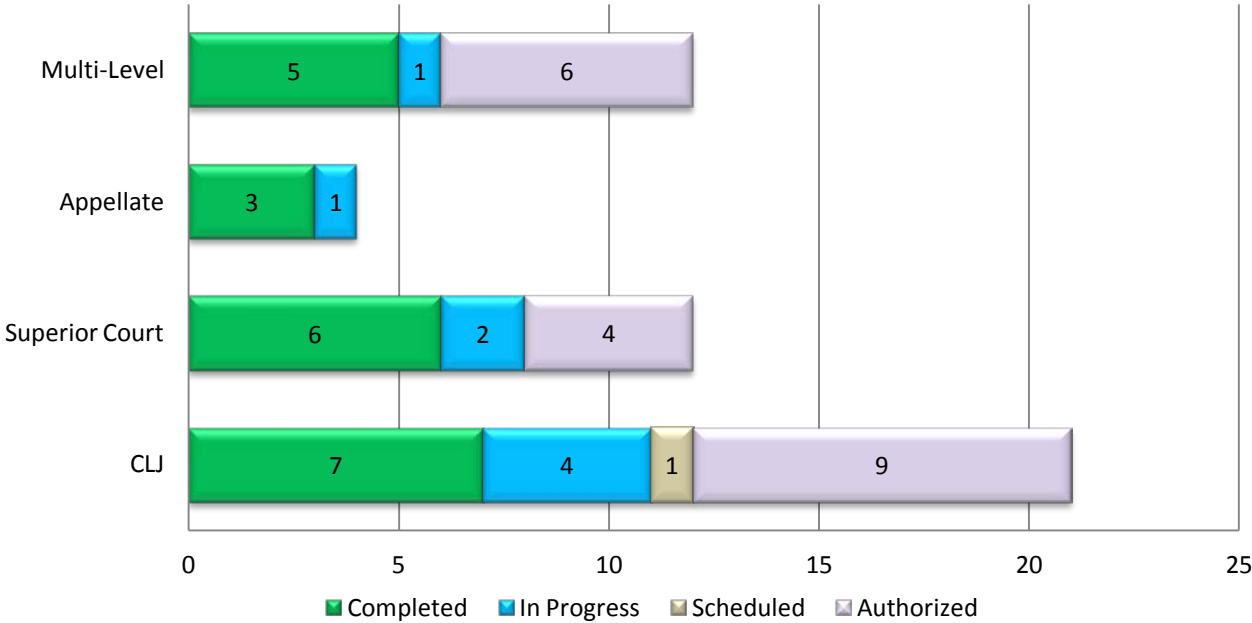
Current Active Requests by:

Endorsing Group			
Court of Appeals Executive Committee	1	District & Municipal Court Management Association	24
Superior Court Judges Association	4	Data Management Steering Committee	1
Washington State Association of County Clerks	9	Data Dissemination Committee	1
Washington State Association of Juvenile Court Administrators	3	Codes Committee	2
District & Municipal Court Judges Association	4	Administrative Office of the Courts	6
Misdemeanant Corrections Association	1		

Court Level User Group	
Appellate Court	1
Superior Court	10
Courts of Limited Jurisdiction	18
Multi Court Level	9

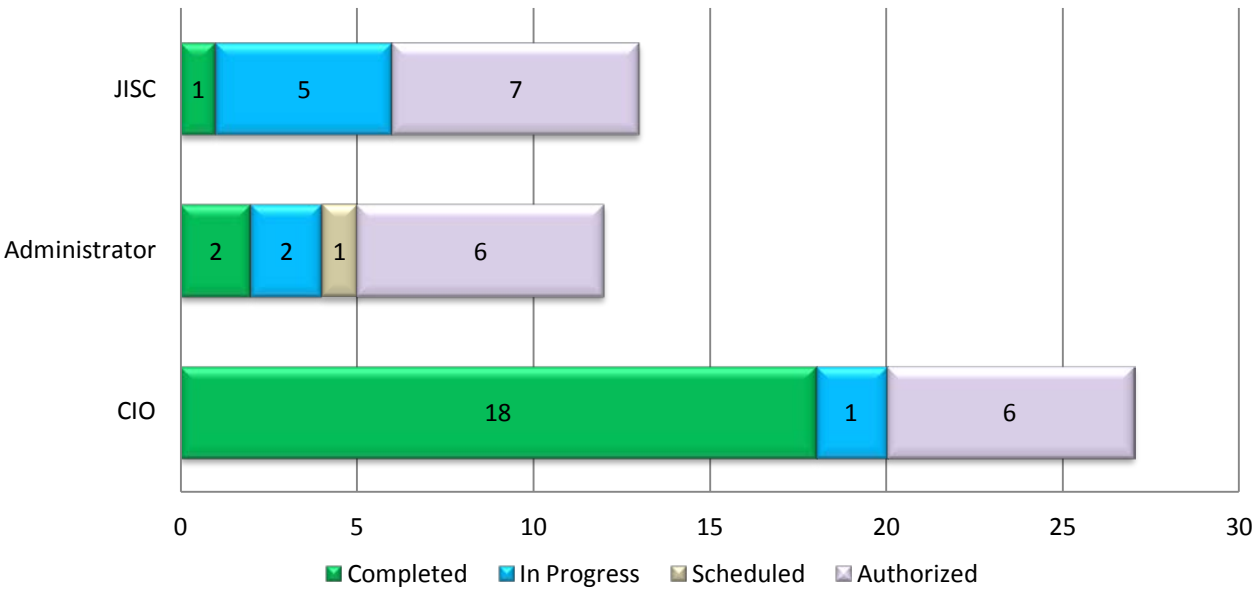
Status of Requests by CLUG

Since ITG Inception



Status of Requests by Authorizing Authority

Since ITG Inception



JISC Priorities					
Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
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
-----	-----	---------------------------------------	-------------	------	------

Courts of Limited Jurisdiction CLUG Priorities

Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
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	032	Batch Enter Attorneys to Multiple Cases	Authorized	CIO	Medium
9	068	Full Print on Docket Public View	Authorized	Administrator	Medium
10	171	Connect CDT and AKA	Authorized	CIO	Medium
11	077	Allow FTAs to Issue When AR is Zero	Authorized	CIO	Medium
12	038	Transfer Code for Judgment Field	Authorized	Administrator	Medium
13	031	Combine True Name & Aliases for Time Pay	Authorized	JISC	Medium
14	026	Prioritize Restitution Recipients	Authorized	JISC	Medium

Multi Court Level CLUG Priorities					
Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
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
Non-Prioritized Requests					
N/A	003	Imaging and Viewing of Court Documents	Authorized	Administrator	Not Specified



WASHINGTON
COURTS
ADMINISTRATIVE OFFICE OF THE COURTS

IT Portfolio Quarterly Report

April - June
2013

For more information, please contact

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Active Projects

JISC	Planned Completion	Status
Superior Court Data Exchange	Sep 2013	Yellow
Superior Court Case Mgmt System – Phase 1/5 - RFP & System Acquisition	Jul 2013	Green
Appellate Courts ECMS	TBD	Yellow
Accounting Data to Data Warehouse	Jul 2013	Green
CLJ Revised Computer Records Retention & Destruction Process	Jul 2014	Green
CLJ Warrant – Print Page (combines 3 ITG requests)	Apr 2014	Red
Information Networking Hub (INH) PROGRAM – Release 1	Dec 2014	Green
AOC		
Commercial Off-The-Shelf (COTS) Preparation PROGRAM (10 projects) AOC readiness for SC-CMS	Jul 2015	Yellow
Guardian Application	TBD	Yellow
DOC Data Exchange Upgrade	TBD	Yellow
New DOL ADR Format	Jan 2014	Yellow
Sharepoint 2010 Upgrade (3 releases)	Aug 2014	Green
Clarity v13 Upgrade	TBD	Yellow
Infrastructure Upgrades (4)	TBD	Yellow
ISD Transformation Wrap-up PROGRAM (9 projects)	TBD	Red

Governance Requests

As of June 30, 2013	
Endorsed	16
Recommended	0
Authorized	23
Active	13
Completed	33
Closed	74

Planned Projects

	Planned Start
Seattle Municipal Court Data Exchange	TBD
PACT 1 Domain Integration	TBD
Request for new CMS to replace JIS	TBD
Access Data from the Payment Monitor Rpt	TBD
DCH and Sealed Juvenile Cases	TBD
Event Manager	TBD
JRS Replacement	TBD
Transparent Audit Trail for Jurisdiction Transfers	TBD
Court Notification when Critical Identifiers Change	Sep 2013
Allow JIS Password to be Changed in JABS	TBD
SCOMIS Field for CPG Number	TBD
Display of Charge Title without Attempt Modifier	TBD
Automate Courts DCXT Table Entries	TBD
Web-based Complaint Management Solution	TBD
Add Bond Transferred Disposition Code	TBD
Connect CDT and AKA	TBD
Batch enter attorneys to multiple cases	TBD
Transfer code for judgment field	TBD
Allow FTAs to Issue when AR is Zero	TBD
Allow full print on docket public view	TBD
Prioritize restitution Recipients	TBD
Combine true name and alias for time pay	TBD
Imaging and viewing of court documents	TBD

Completed Projects (2011-13)

Records Management System	Jul 2011
Appellate Courts EDMS – Feasibility Study	Aug 2011
Back on Track to PACT Conversion	Aug 2011
Superior Court Case Management System – Feasibility Study	Sep 2011
JRS Windows 7 Compatibility Upgrade	Oct 2011
JRS Workstation – Electronic Journaling	Oct 2011
JIS Baseline Services (40 services approved)	Oct 2011
Remove Hyphens from Drivers License on JIS screen	Nov 2011
Clarity Implementation	Nov 2011
Vehicle Related Violations Data Exchange	Nov 2011
Court Interpreter Database	Jan 2012
JRS Transaction Code for Internet Surcharge	Jan 2012
Conference Hearing Fee	Jan 2012
CLJ Parking Module Feasibility Study	Feb 2012
BizTalk Upgrade	Feb 2012
Allow JABS to display Plea and Sentencing Data	Apr 2012
Adult Static Risk Assessment	May 2012
DB2 Upgrade to version 10	Jul 2012
Reversing/Transferring recouped costs to jurisdiction	Aug 2012
Court Business Office (start-up)	Sep 2012
Appellate Web Information Enhancement	Apr 2013
Increase Characters on CPFM screen	Apr 2013

JIS Application Portfolio - Primary JIS Applications

Application	Description	Serving	Users ¹	Transactions per Month (average)	Support FTEs	Implementation Year	Architecture	IT Gov. Requests Authorized and/or Completed	Sustainability	Maintainability	Extensibility	
ACORDS	Appellate Court Records & Data System	Case management system used by the Supreme Court and courts of appeal. Case filing, event management, calendaring and management of opinions.	Appellate Courts	290	4,300	.7	2003	Mainframe Java DB2	0			
CAPS	Court Automated Proceeding System	Resource management and case event scheduling.	Superior Court (Yakima County only)	30	38,000	.1	2003	Mainframe Java DB2	0			
DW	Data Warehouse	Case information for querying and reporting.	All courts & public access	Data not avail.	11,600,000	5	2008	Mainframe Informatica DB2 Server/BizTalk SQLServer	2			
ETP / VRV	Electronic Ticketing Process / Vehicle Related Violations	Used by the courts to process tickets filed electronically.	CLJ, Law Enforcement	Data not avail.	Data not avail.	.6	2007 2011	Server / BizTalk Mainframe Java DB2	1			
JABS	Judicial Access Browser System	Simple view of criminal history/offender profile.	Superior Courts, CLJ, Juvenile	6,865	120,000	.6	2001	Mainframe Java DB2	5			
JCS	Juvenile & Corrections System	Juvenile referral and juvenile detention management system. Provides pre-case filing, juvenile sentencing, diversion and post adjudication probation support.	Juvenile	1,190	284,000	3.1	2005	Server uniPaaS (Magic) DB2	1			
JIS (DISCIS)	Judicial Information System (DISCIS)	Provides a person-centric case management system. Primary case management and accounting system used by the district and municipal courts.	Superior Courts, CLJ, Juvenile	2,620	18,100,000	4.75	1988	Mainframe COBOL/Natural DB2	24			
JRS	Judicial Receipting System	Receipting system used by the county clerks in support of the Superior Courts.	Superior Courts	90	480,000	1.7	1993	Mainframe Delphi SQLServer	2			
SCOMIS	Superior Court Management Information System	Primary docketing system for superior courts. Provides some case calendaring and case management functionality.	Superior Courts, Juvenile	1,770	7,100,000	2.75	1977	Mainframe COBOL DB2	6			

¹Based on number of User-ids

JIS Application Portfolio - Other Applications

Attorney Notifications	Court of Appeals eFiling	Firearms Reporting	Interpreter Reimbursement	OSOS Felon Reporting	Washington Courts (public web)
Bill Tracker	Court Supplies	Guardianship	IT Governance Portal	P.A.C.T.	WSP Dispositions
Case History	eClips	Inside Courts (Extranet)	Juvenile Risk Assessment	Public Case Search	Adult Static Risk Assessment
Court Directory	Event Manager	Court Interpreter	Opinion Upload	Time for Trial Reporting	

External WA state applications: HRMS, AFRS, ADDS, DRS, CAMS, Fiscal Note

LEGEND	Sustainability	Able to avoid negative impact on application or users	Green	Normally will be achieved at a level of effort consistent with standard industry practice
	Maintainability	Able to keep applications current in existing state	Yellow	Challenging to achieve at a level of effort consistent with standard industry practice
	Extensibility	Able to increase scope of the application	Red	Difficult to achieve at a level of effort consistent with standard industry practice



Washington State Administrative Office of the Courts

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

July 2013
(Report Period Ending July 31, 2013)

Table of Contents

Background & Overview	2
Background	3
Initiatives & Project Plan Overview	4
Summary of Activities.....	5
Major Changes Since Last Report.....	6
ISD Staff Recognitions	7
IT Governance Request Status	7
Summary of Activities July 2013.....	9
Initiative Summary	9
Detailed Status Reports	13
Initiative Status Reports.....	15
Initiative Reports.....	16
Transformation Program Track	16
COTS Preparation Application Program Track	17
COTS Preparation – SC-CMS Disaster Recovery	19
Information Networking Hub (INH) Enterprise Data Repository (EDR) Project	21
Information Networking Hub (INH) Middleware Project	23
Approved Project Status Reports	25
ITG #121 Superior Court Data Exchange	25
ITG #002 Superior Court Case Management System (SC-CMS) RFP	27
ITG #045 Appellate Courts Enterprise Content Management System (AC-ECMS)	31
ITG #009 Add Accounting Data to the Data Warehouse	33
ITG #041 Revised CLJ Computer Records Retention and Destruction Project	35
ISD Operational Area Status Reports.....	37
ISD Operational Area Reports.....	38
Operational Area: ISD Policy and Planning	38
Operational Area: Architecture & Strategy	41
Operational Area: Infrastructure.....	42
Operational Area: Data & Development.....	47
Operational Area: Operations	50

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 July 2013

SCHEDULE STATUS KEY



= Active/on track



= Changes w/ Moderate impact



= Significant rework/risk



= Not active



= Completed

Planned

Actual

Initiatives	Schedule Status		CY11	CY11	CY11	CY11	CY12	CY12	CY12	CY12	CY13	CY13	CY13	CY13	CY14	CY14
			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														
12.3 Superior Court Data Exchange	▲	Planned														
		Actual														
SC-CMS RFP	▲	Planned														
		Actual														
COTS Preparation Application	⊖	Planned														
		Actual								⊖						
COTS Preparation – SC-CMS Disaster Recovery	⊖	Planned														
		Actual										⊖				
ITG #045 Appellate Court Enterprise Content Management System (ECMS)	◆	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 Content 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 July.

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 July 1 - 31, 2013:

ISD welcomed the following new staff:

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

The following employees left ISD:

- Jim Herrera, ISD Clarity Administrator, (6/30/2013).
- Cindy Palko, Project Manager, (7/31/2013).
- Barb Nesbitt, COBOL Programmer, (7/31/2013).
- Keith Curry, Project Manager, (7/12/2013).

Employees transferring to the SC-CMS Project:

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

ISD Staff Recognitions

Recognitions

The ITG 41 Project (CLJ Revised Computer Records Retention and Destruction Process) achieved a major project milestone in June. The first stage of the project was to restore Courts of Limited Jurisdiction (CLJ) court cases from archive tapes to the active tables. This work was conducted mostly after hours (between 5 a.m. - 8 a.m., from 5 p.m. – midnight and involving several Saturdays). Seven million active cases were restored in just 100 days. The work began March 4, 2013. Special thanks go to Jay Kovuri, Ravi Somasundaram, Maria Bartz, Michael Sebastian, and Michael Gilbreath for their many, many hours of work. Additional thanks and kudos go to the Data Warehouse, Infrastructure and Database groups for their patience and assistance in loading the data to the active tables. The Project Team is also very grateful to the Applications Legacy Group members, who are now patiently working through some of the impacts to cases that resulted from restoring the archive cases. Thanks to everyone who participated in this effort. Their professionalism and willingness to go the extra mile to achieve this milestone really put the project ahead of the curve!

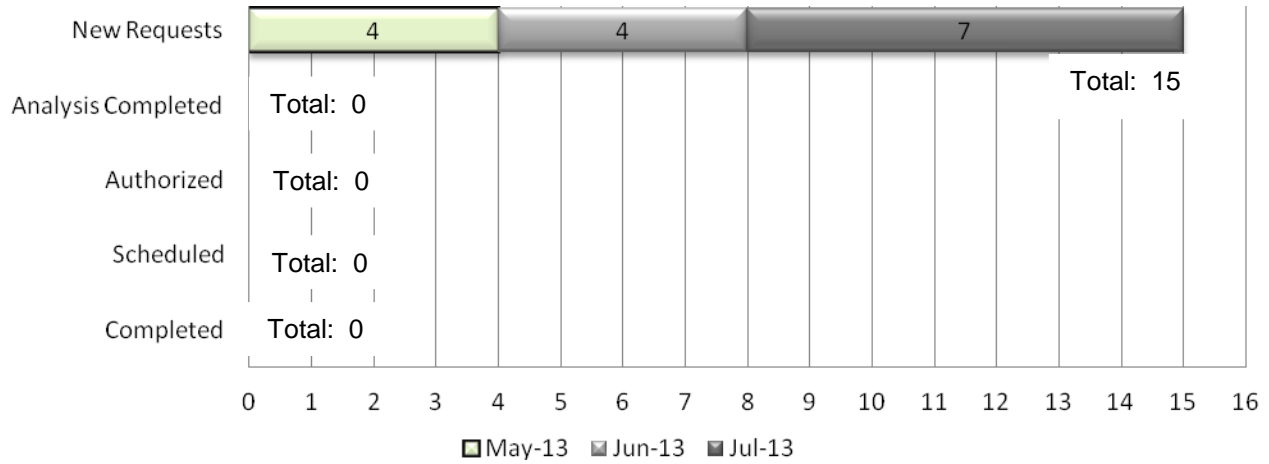
IT Governance Request Status

Completed JIS IT Requests in July 2013

No requests were completed during the month of July.

Status Charts

Requests Completing Key Milestones



Current Active Requests by:

Endorsing Group			
Court of Appeals Executive Committee	1	District & Municipal Court Management Association	24
Superior Court Judges Association	4	Data Management Steering Committee	1
Washington State Association of County Clerks	9	Data Dissemination Committee	1
Washington State Association of Juvenile Court Administrators	3	Codes Committee	2
District & Municipal Court Judges Association	4	Administrative Office of the Courts	6
Misdemeanant Corrections Association	1		

Court Level User Group	
Appellate Court	1
Superior Court	10
Courts of Limited Jurisdiction	18
Multi Court Level	9

Summary of Activities July 2013

Initiative Summary

Transformation Program	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> ✓ Projects are on hold due to reassignment of project manager. 	<p>The following activities are on hold:</p> <ul style="list-style-type: none"> • Release Management Implementation. • Vendor Management Implementation. • Application Development Management. • Enterprise Requirements Management.
COTS Preparation Application Program	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> ✓ Monthly status reporting for this project is on-hold until work begins with the SC-CMS vendor. 	Provides understanding of current working environment and enables solution design.
COTS Preparation - SC-CMS Disaster Recovery	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> ✓ Monthly status reporting for this project is on-hold until work begins with the SC-CMS vendor. 	Provide disaster recovery services to support future COTS product and SC-CMS implementation.
Information Networking Hub (INH) Enterprise Data Repository (EDR) Project	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> ✓ Continued work on the analysis of data flows with the business model designs to validate initial requirements for the EDR. 	The models validate design of the EDR.
<ul style="list-style-type: none"> ✓ Continued work on finalizing data models based on feedback from Database Design Review Team (DDRT). 	The models validate design of the EDR.
<ul style="list-style-type: none"> ✓ Continued requirements analysis work by Solution Architect and Business Analyst. 	Validating requirements for EDR Release 2.0.
<ul style="list-style-type: none"> ✓ Published RFQQ to hire a contract Data Strategy Consultant who will provide strategic technical guidance on implementing the INH EDR in Release 2 and will assist other interdependent projects with data related issues. 	Provide strategic technical guidance on implementing the INH EDR in Release 2 and assists other interdependent projects with data related issues.
Information Networking Hub (INH) Middleware Project	
<i>Activities</i>	<i>Impact/Value</i>
<ul style="list-style-type: none"> ✓ Deployed build 0.8.3 to the new User Acceptance Test (UAT) environment for testing. 	Ensures that services work as specified.
<ul style="list-style-type: none"> ✓ Continued work on CaseAccountingStatusGet service. 	Ensures that services work as specified for the accurate exchange of data.
<ul style="list-style-type: none"> ✓ Completed testing on completed services in the new UAT environment and begin functional and regression testing. 	Ensures that services work as specified.
<ul style="list-style-type: none"> ✓ Continued to resolve bug defects found in services during testing. 	Ensures that services work as specified.

Approved JIS Projects Summary




ITG #121 Superior Court Data Exchange	
Activities	Impact/Value
✓ AOC programming changes are in progress to suspend the auto generation of dockets and enable Pierce County Courts to complete the implementation for the docket and civil case data exchanges.	Secures the data being transmitted in the data exchange.
✓ AOC is working with Pierce County to implement the security changes necessary to secure a message being transmitted over the internet and have them ready for our anticipated September data exchange start up.	Secures the data being transmitted in the data exchange.
ITG #002 Superior Court - Case Management System RFP	
Activities	Impact/Value
Schedule Management	
✓ Continued detailed analysis of proposed Vendor work plan.	To identify any unclear deliverables while we are in contract negotiations.
Court Business Office	
✓ Court Business Office (CBO) – Court User Workgroup meeting held on July 10-11.	Work group, as recommended from the feasibility study, will provide process guidance to the development of a baseline configuration and appropriate packages for deployment.
Technical Team	
✓ Reviewed Tyler's SOW and provided comments.	Preparation for contract start.
✓ Completed the next revision of the newly named "Overloaded Field Research" process paper.	Preparation for contract start.
Organizational Change Management Team	
✓ Updated proposed strategy and process for communicating court process changes to include a process to communicating internally to AOC staff.	Maximize awareness and mitigate impacts of SC-CMS implementation by appropriately targeting our communications approach to the needs of agency stakeholders.
✓ Finalized the Pilot Site Letter to Association Presidents, Pilot Site Indication of Interest document, Pilot Site Flyer, and Pilot Site Readiness Checklist.	Increase stakeholder awareness and buy-in by providing the opportunity to test the new case management software live in a court and clerk's office.
✓ Updated project SharePoint and Extranet sites.	Increase awareness and buy-in by providing accurate, relevant project information to internal and external stakeholders.
✓ Initiated review process on 'Town Hall Meeting' plan.	Provide external stakeholders the opportunity to increase their awareness of, and to provide feedback on, the SC-CMS project Technical and Business activities.
✓ Attended July Court User Work Group (CUWG) meeting.	Increase awareness among court and clerk stakeholders of the role of OCM on the SC-CMS project.
✓ Reviewed a conceptual prototype of the SC-CMS project's presence on the public website at www.courts.wa.gov with the CUWG at their July 2013 meeting.	Increase stakeholder awareness by providing accurate, relevant project information to external stakeholders.
✓ Worked with OCM Team to develop a process for responding to stakeholder feedback.	Increase trust and credibility with stakeholders by helping them feel heard and valued.
✓ Initiated a draft Early Adopter Selection plan.	Increase stakeholder buy-in by providing courts and county clerk's offices the opportunity to take part in testing the repeatable implementation process.
Business Analyst Team	
✓ Contributed to the review of the court business processes being conducted by the CBO team.	Share knowledge and understanding between team members.
Quality Assurance Team	
✓ Ensured requirements previously mapped to the business process flows were still correct after the process flows were modified with Court User Workgroup (CUWG) updates.	Document the current state business processes.
✓ Mapped requirements to process flows as flows were completed by process modeling sub-group.	Document the current state business processes.

✓ Updated SC-CMS glossary based on CUWG comments.	Preparation for contract start.
✓ Worked on User Acceptance Test plan.	Preparation for contract start.
Project Management Team	
✓ Attended Special JISC meeting 7/19/2013.	Received approval from JISC to sign Tyler contract.
✓ Attended regular scheduled meetings to coordinate with various non-project organizations.	Interoffice coordination efforts.
✓ Attended regular scheduled SC-CMS Project team meetings.	Project Communications.
✓ Conducted regularly scheduled SC-CMS Project Steering Committee meetings.	These meetings continue to address issues and concerns identified by various stakeholder groups during the procurement process.
ITG #045 Appellate Court Enterprise Content Management System (AC-ECMS)	
Activities	Impact/Value
✓ Contract negotiations continued with the Vendor.	Improve the efficiency of document management for the Appellate Courts.
✓ We had good statement of work meetings with the ASV which resulted in better commonality on project approach and terminology. The statement of work was fundamentally completed.	Improve the efficiency of document management for the courts.
✓ The project team is working through the terms and conditions to obtain agreement. It should be finalized within a week.	Improve the efficiency of document management for the Appellate Courts.
✓ The maintenance agreements and license agreements are nearly complete and should be finalized within a week.	Improve the efficiency of document management for the Appellate Courts.
✓ Full funding was not provided by the legislature. AOC will be seeking funding again in the supplemental budget and has committed to keeping the project moving forward in the meantime using current allocations. The PMO Manager and the Project Manager met with AOC senior management to discuss how the internal project funding process will work.	Improve the efficiency of document management for the Appellate Courts.
✓ Met with the project Executive Steering Committee on 7/17 and 7/31 to brief them on the negotiations.	Improve the efficiency of document management for the Appellate Courts.
✓ Requirements analysis for changes to JIS Link and a new public documents portal slowed due to vacation and a production issue with ACORDS.	Improve the efficiency of document management for the Appellate Courts.
ITG #009 Add Accounting Data to the Data Warehouse	
Activities	Impact/Value
✓ Fixed an error in the remit group association to Accounts Payment and Revenue and reloaded.	Provide data requirements.
✓ Fixed and reloaded an error in the Receipts table.	Provide data requirements.
✓ Added Bail Forfeiture to the CFHS data.	Provide data requirements.
✓ Loaded and tested Case Obligor summary data.	Provide data requirements.
✓ Loaded and tested Obligation Payment Schedule data for superior courts and CLJ time pay.	Provide data requirements.
✓ Tested and released PMR reports.	Provide business requirements for accounting.
✓ Tested and released Legal Financial Obligation Report for ITG 009 and 70.	Provide business requirements for accounting.
✓ Tested and released Legal Financial Obligation Extract Report for ITG 009 and 70.	Provide business requirements for accounting.
✓ Tested and released Case Financial History Report with time pay indicator.	Provide business requirements for accounting.
ITG #041 Revised CLJ Computer Records Retention and Destruction Process	
Activities	Impact/Value

<p>✓ July 1-31: Provided business analysis support to developers coding functional requirements detail. Confirm Judge's Flag option already in the requirements -set to turn on/off as needed.</p>	<p>Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.</p>
<p>✓ July 1-31: Continued more business analysis to obtain full functional requirements detail -Completed Data Dissemination Committee (DDC) consultation. Provided project information needed Court/Associations outreach for feedback (representatives from District and Municipal Court Management Association (DMCMA), District and Municipal Court Judges' Association (DMCJA) and Misdemeanant Corrections Association).</p>	<p>Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.</p>
<p>✓ July 1-31: Worked with John Bell and Judge Wynne to provide support information to the 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>✓ July 1 - August 31: Project Team developers preparing to apply current and preliminary new rules, add VRV and ETP, to active tables in November (1st Iteration).</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								
Status Reporting on-hold until project manager assigned.						Reporting Period through NA		
Executive Sponsor(s) Vonnie Diseth, CIO/ISD Director				IT Project Manager: Unassigned				
Business Area Manager: William Cogswell, ISD Associate Director				Consultant/Contracting Firm: N/A				
Description: 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.								
Business Benefit:								
<ul style="list-style-type: none"> Prepare ISD processes to support the implementation of Superior Court Case Management System and other COTS. Ensure use of consistent and integrated processes across ISD functional areas to enable the efficient delivery of services. Implement a governance organization and decision making processes to maximize investments and utilization of resources. 								
Business Drivers	Improve Decision Making	<input checked="" type="checkbox"/>	Improve Information Access	<input type="checkbox"/>	Improve Service or efficiency	<input checked="" type="checkbox"/>	Manage Risks	<input checked="" type="checkbox"/>
	Maintain the business	<input checked="" type="checkbox"/>	Manage the costs	<input checked="" type="checkbox"/>	Increase organizational capability	<input checked="" type="checkbox"/>	Regulatory compliance or mandate	<input type="checkbox"/>
Current Status	Scope	<input checked="" type="checkbox"/>	Schedule	<input checked="" type="checkbox"/>	Budget	<input checked="" type="checkbox"/>		
Status Notes: <i>The projects are temporarily on-hold due to the re-assignment of the project manager.</i>								
Progress	<div style="text-align: center;">April - 25%</div>						100%	
Phase	<input type="checkbox"/> Initiate	<input checked="" type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close				
Schedule	Planned Start Date: July 2011			Planned Completion Date: June 2013				
	Actual Start Date: July 2011			Actual Completion: TBD				
Activities Completed				Impact/Value				
✓ Projects are on hold due to reassignment of project manager.				Projects are on hold due to reassignment of project manager.				
Activities Planned				Impact/Value				
° 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

Executive Sponsor(s) Vonnie Diseth, CIO/ISD Director	IT Project Manager: Sree Sundaram – Application Program 360.704.5521 Sree.sundaram@courts.wa.gov
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
- 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.

Business Drivers	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			
<input checked="" type="checkbox"/> Documentation of the existing systems and applications.			Provides understanding of current working environment and enables solution design.			
Activities Planned			Impact/Value			
<input type="checkbox"/> 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
360-704-4024
Cindy.Palko@courts.wa.gov

Business Area Manager(s):

Dennis Longnecker, Infrastructure Manager
Tamra Anderson, Data & Development Manager
Michael Keeling, Operations Manager
Kumar Yajamanam, Architecture & 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.

Business Drivers	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	●
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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%

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

Activities Completed	Impact/Value
<ul style="list-style-type: none"> ✓ 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. 	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 July 31, 2013

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

Business Drivers	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"/>

Current Status	Scope	●	Schedule	●	Budget	●
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Status Notes:

This past month, the project made progress on the review of the database design and the analysis of the business requirements for the initial data load and service integration, to implement EDR Release 2.0.

The team published a Request For Quote and Qualifications (RFQQ) to hire a Data Strategy Consultant to provide strategic guidance and direction on data strategy issues.



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

Activities Completed		Impact/Value	
✓	Continued work on the analysis of data flows with the business model designs to validate initial requirements for the EDR.	The models validate design of the EDR.	
✓	Continued work on finalizing data models based on feedback from Database Design Review Team (DDRT).	The models validate design of the EDR.	
✓	Continued requirements analysis work by Solution Architect and Business Analyst.	Validating requirements for EDR Release 2.0.	
✓	Published RFQQ to hire a contract Data Strategy Consultant who will provide strategic technical guidance on implementing the INH EDR in Release 2 and will assist other interdependent projects with data related issues.	Provide strategic technical guidance on implementing the INH EDR in Release 2 and assists other interdependent projects with data related issues.	
Activities Planned		Impact/Value	
°	Complete final database design review to incorporate feedback from Data Design Review Team sessions.	Validates EDR design.	
°	Complete first draft of requirements document.	Documents the expectations of the EDR.	
°	Interview and hire a Data Strategy Consultant to provide strategic guidance on implementing the EDR and assist with other interdependent projects beginning in September.	Provide strategic technical guidance on implementing the INH EDR in Release 2 and assists other interdependent projects with data related issues.	
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 July 31, 2013

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

Business Drivers	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"/>

Current Status	Scope	●	Schedule	●	Budget	●
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Status Notes:
The INH Project Team continues to make good progress on the final six INH services that are planned to be ready for the SC-CMS project as part of Release 1.




Phase	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close
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Schedule	Planned Start Date: January 2012	Planned Completion Date: 12/31/2014
	Actual Start Date: January 2012	Actual Completion: TBD

Activities Completed	Impact/Value
✓ Deployed build 0.8.3 to the new UAT environment for testing.	Ensures that services work as specified.
✓ Continued work on CaseAccountingStatusGet service.	Ensures that services work as specified for the accurate exchange of data.
✓ Completed testing on completed services in the new UAT environment and begin functional and regression testing.	Ensures that services work as specified.

✓	Continued to resolve bug defects found in services during testing.	Ensures that services work as specified.		
Activities Planned		Impact/Value		
◦	Complete work on Information Exchange Package Document (IEPD) transformation documents for last three remaining services.	Provides business requirements for technical specifications that can be developed to.		
◦	Complete work on SQL stored procedures for CaseAccountingStatusGET and other GET services.	Provides INH data exchanges that can be tested and deployed to QA.		
◦	Complete testing on build 0.8.3 services in the new UAT environment.	Ensures that services work as specified.		
◦	Began preparations for deployment of next services build 0.8.4 to the UAT environment.	Ensures that services work as specified.		
◦	Begin work on enhancing the testing environment to improve testing productivity.	Improves the efficiency of testing in the new UAT environment.		
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	12/31/14		

ITG #121 Superior Court Data Exchange								
					Reporting Period Through July 31, 2013			
Executive Sponsor(s) Data Management Steering Committee <i>Rich Johnson, Committee Chair</i>			IT Project Manager: Michael Walsh (360) 705-5245 Michael.walsh@courts.wa.gov					
Business Manager: Tamra Anderson, Data and Development Manager			Consultant/Contracting Firm: Sierra/CodeSmart					
Description: 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.								
Business Benefit: 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.								
Business Drivers	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"/>
Current Status	Scope	▲	Schedule	▲	Budget	●		
<p>Status Notes:</p> <p>Due to Pierce County IT Governance prioritization Pierce County Superior Court will not implement any additional data exchanges beyond the 6 Docket and Civil Case services currently being implemented.</p> <p>Pierce County has requested that we add secured socket layer (SSL) security to our data exchanges servers.</p> <p>There is an AOC process that is blocking the ability for the docket data exchange to complete. A SCOMIS change is needed to suspend the auto generation of dockets for courts using the data exchanges. The program changes are in progress and testing should complete by mid August.</p>								
Progress	July – 98%  100%							
Phase	<input type="checkbox"/> Initiate	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Execute	<input type="checkbox"/> Close				
Schedule SCDX	Original Start Date: 1/2/2011		Original Completion Date: 7/1/2012					
	Planned Start Date: 1/2/2011		Planned Completion Date: 9/3/2013					
	Actual Start Date: 1/2/2011		Actual Completion Date:					
Schedule Increment 1	Original Start Date: 8/29/2011		Original Completion Date: 1/31/2012					
	Planned Start Date: 8/29/2011		Planned Completion Date: 8/29/2012					
	Actual Start Date: 8/29/2011		Actual Completion Date: 8/29/2012					
Schedule Increment 2	Original Start Date: 1/2/2012		Original Completion Date: 3/30/2012					
	Planned Start Date: 2/1/2012		Planned Completion Date: 11/16/2012					
	Actual Start Date: 2/1/2012		Actual Completion Date:					

Schedule Increment 3	Original Start Date: 6/12/2012	Original Completion Date: 11/2/2012	
	Planned Start Date: 6/12/2012	Planned Completion Date: 12/21/2012	
	Actual Start Date: 6/12/2012	Actual Completion Date:	
Schedule Increment 4	Original Start Date: 6/12/2012	Original Completion Date: 2/8/2013	
	Planned Start Date: 8/1/2012	Planned Completion Date: 9/28/2013	
	Actual Start Date: 8/1/2012	Actual Completion Date:	
Activities Completed		Impact/Value	
✓ AOC programming changes are in progress to suspend the auto generation of dockets and enable Pierce County Courts to complete the implementation for the docket and civil case data exchanges.		Secures the data being transmitted in the data exchange.	
✓ AOC is working with Pierce County to implement the security changes necessary to secure a message being transmitted over the internet and have them ready for our anticipated September data exchange start up.		Secures the data being transmitted in the data exchange.	
Activities Planned		Impact/Value	
° Implement the SCOMIS changes needed to unblock the docket and civil case web services by August 19 th .		Suspends the auto generation of dockets for courts using the data exchanges.	
° Add the security changes necessary to secure a message being transmitted over the internet to the data exchange servers.		Secures the data being transmitted in the data exchange.	
° Pierce County plans to complete testing and implementation of their data exchanges.		Pierce County will experience the benefits of sharing data using the data exchanges.	
Milestones Planned and Accomplished			
Milestone	Original Date	Revised Date	Actual Date
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	9/28/13	

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

Reporting Period Through July 31, 2013

<p>Executive Sponsor(s) <i>Judge Craig Matheson, President</i> Superior Court Judges Association (SCJA)</p> <p><i>Betty Gould, President</i> Washington State Association of County Clerks (WSACC)</p> <p><i>Jeff Amram, President</i> Association of Washington Superior Court Administrators (AWSCA)</p>	<p>IT Project Manager: Maribeth Sapinoso, PMP</p> <p>Consultant/Contracting Firm: MTG (Management Technology Group) Bluecrane, Inc. Rich Wyde, Special Assistant Attorney General</p> <p>Business Manager Vonnie Diseth, AOC- CIO/ISD Director Dirk Marler, AOC-JSD Director</p>
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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.

Business Drivers	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"/>

Current Status	Scope	●	Schedule	●	Budget	●
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Status Notes:
 The contract was finalized with Tyler Technologies and signed on July 25, 2013. The new Deputy Project Manager, Mike Walsh, was introduced to all stakeholder groups.



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

Activities Completed	Impact/Value
Schedule Management	
✓ Schedule reviewed and updated.	Provide up to date progress.
✓ Maintain inter-dependency milestone schedule for SC-CMS, INH, COTS-P & SCDX.	Monitor & track impacts and risks to deliverables/milestones between the major project's interdependencies.
✓ Assumed management of SC-CMS Staffing Plan.	To ensure alignment of project resources and anticipate future resource needs.
✓ Continued detailed analysis of proposed Vendor work plan.	To identify any unclear deliverables while we are in contract negotiations.

✓ Loaded deliverable costs to project schedule.	To provide cash flow information based on schedule and schedule movement.
Court Business Office	
✓ Court Business Office (CBO) – Court User Workgroup (CUWG) meeting was held on July 10-11.	Work group, as recommended from the feasibility study, will provide process guidance to the development of a baseline configuration and appropriate packages for deployment.
Technical Team	
✓ Participated in the July CUWG meeting.	Preparation for contract start.
✓ Reviewed Tyler's SOW and provided comments.	Preparation for contract start.
✓ Completed the next revision of the newly named "Overloaded Field Research" process paper.	Preparation for contract start.
Organizational Change Management Team	
✓ Updated proposed strategy and process for communicating court process changes to include a process to communicating internally to AOC staff.	Maximize awareness and mitigate impacts of SC-CMS implementation by appropriately targeting our communications approach to the needs of agency stakeholders.
✓ Finalized the Pilot Site Letter to Association Presidents, Pilot Site Indication of Interest document, Pilot Site Flyer, and Pilot Site Readiness Checklist.	Increase stakeholder awareness and buy-in by providing the opportunity to test the new case management software live in a court and clerk's office.
✓ Updated project SharePoint and Extranet sites.	Increase awareness and buy-in by providing accurate, relevant project information to internal and external stakeholders.
✓ Initiated review process on 'Town Hall Meeting' plan.	Provide external stakeholders the opportunity to increase their awareness of, and to provide feedback on, the SC-CMS project Technical and Business activities.
✓ Attended July CUWG meeting.	Increase awareness among court and clerk stakeholders of the role of OCM on the SC-CMS project.
✓ Reviewed a conceptual prototype of the SC-CMS project's presence on the public website at www.courts.wa.gov with the CUWG at their July 2013 meeting.	Increase stakeholder awareness by providing accurate, relevant project information to external stakeholders.
✓ Worked with OCM Team to develop a process for responding to stakeholder feedback.	Increase trust and credibility with stakeholders by helping them feel heard and valued.
✓ Initiated a draft Early Adopter Selection plan.	Increase stakeholder buy-in by providing courts and county clerk's offices the opportunity to take part in testing the repeatable implementation process.
Business Analyst Team	
✓ Contributed to the review of the court business processes being conducted by the CBO team.	Share knowledge and understanding between team members.
Quality Assurance Team	
✓ Ensured requirements previously mapped to the business process flows were still correct after the process flows were modified with CUWG updates.	Document the current state business processes.
✓ Mapped requirements to process flows as flows were completed by process modeling sub-group.	Document the current state business processes.
✓ Updated SC-CMS glossary based on CUWG comments.	Preparation for contract start.
✓ Worked on UAT plan.	Preparation for contract start.
Project Management Team	
✓ Attended Special JISC meeting 7/19/2013.	Received approval from JISC to sign Tyler contract.
✓ Attended regular scheduled meetings to coordinate with various non-project organizations.	Interoffice coordination efforts.
✓ Attended regular scheduled SC-CMS Project team meetings.	Project Communications.
✓ Conducted regularly scheduled SC-CMS Project Steering Committee meetings.	These meetings continue to address issues and concerns identified by various stakeholder groups during the procurement process.

Activities Planned	Impact/Value
Schedule Management	
◦ Continue Schedule tracking and updating.	Keep schedule current and relevant.
◦ Continue development of Inter Project Dependency schedule.	Maintain awareness and identify potential impacts to or from SC-CMS.
◦ Continue detailed analysis of proposed Vendor work plan.	More meaningful information, for reporting and for trend analysis.
◦ Begin template for Financials Impact Analysis to SC-CMS project.	Identify and quantify major risks to AOC related to broadening the project scope to include the Financials package.
Court Business Office	
◦ Attend CUWG meeting planned for August 14-15.	Work group, as recommended from the feasibility study, will provide process guidance to the development of a baseline configuration and appropriate packages for deployment.
◦ Continuing process workflow creation and documentation.	Developing the “as-is” process models provides the project team and the CUWG a starting point for developing the future state processes for the superior courts.
◦ Once docket sub-number requirement has been validated by the County Clerks, follow requirements change control process.	Follow the requirements change control process to ensure compliance and agreement with stakeholders.
◦ Work with internal AOC groups to develop processes for communicating with impacted state agencies.	Agree on a set of processes for communicating decisions, issues and/or recommendations back to the CUWG associations, impacted state agencies, and AOC project teams.
◦ Incorporate feedback into the development of communication tools (public website, newsletter, etc.) and processes per the July CUWG meeting.	Provide easy access to project information.
◦ Drafting of meeting minutes from the last CUWG meeting is in progress.	Provide a written account of the CUWG meetings.
Technical Team	
◦ Continue researching overloaded fields.	Preparation for contract start.
◦ Participate in the August CUWG meetings.	Preparation for contract start.
Organizational Change Management Team	
◦ Finalize proposed strategy and process for communicating court process changes to external agencies.	Maximize awareness and mitigate impacts of SC-CMS implementation by appropriately targeting our communications approach to the needs of external agency stakeholders.
◦ Finalize the Pilot Site scoring criteria and Pilot Site Commitment document.	Increase awareness and buy-in by providing accurate, relevant project information to internal and external stakeholders.
◦ Send Pilot Site Readiness Checklist to candidates with signed Indication of Interest forms.	Increase stakeholder awareness and buy-in by providing the opportunity to test the new case management software live in a court and clerk’s office.
◦ Attend August 2013 CUWG meeting.	Increase awareness of the role of OCM on the SC-CMS project.
◦ Update project SharePoint and Extranet sites.	Increase awareness and buy-in by providing accurate, relevant project information to internal and external stakeholders.
◦ Review Early Adopter selection plan.	Increase stakeholder buy-in by providing courts and county clerk’s offices the opportunity to take part in testing the repeatable implementation process.
Business Analyst Team	
◦ Reviewing data quality reports regarding Superior Court data.	Our business knowledge will assist with identifying issues, or needs in current data quality issues, and for future development of the CMS for Superior Courts. The intent is to assure that data used in the new CMS is clear, concise, and useful for the business.
◦ Continue work on research around the case number format for the CUWG. Documenting the information from the CUWG meetings in regard to the suggestions, comments, and information gathered at the meetings.	The CUWG continues discussion at the monthly meetings, and are expected to reach out to their associations for input, and ultimately agreement on how the case number format will be configured in a new CMS.
◦ Contribute to the review of the court business processes being conducted by the CBO team and develop process narratives.	Share knowledge and understanding between team members.
◦ Conduct other efforts for vendor on boarding.	To make on boarding of vendor as efficient as possible to they can hit the road running.

◦ Work with CBO to prepare for the July CUWG meeting. Continue looking at the "current state" process flows for validation by the CUWG.	As part of the AOC team that put the processes together, the BA's will provide assistance when needed for clarification on what is documented in the processes. The BA's will continue to assist with the processes as the future state is discussed and documented.		
◦ Participate in Month CUWG meeting.	Share and consume information that will help enable a successful implementation of the SC-CMS effort.		
Quality Assurance Team			
◦ Continue mapping the business process flows to requirements after the process flows are created or modified with CUWG updates.	Document the current state business processes.		
◦ Continue working on UAT plan.	Preparation for contract start.		
◦ Start writing test scripts and test cases after Tyler is on board and documentation is available.	Preparation for Pilot UAT.		
◦ Start testing INH.	Preparation for contract start.		
Project Management Team			
◦ Attend regular scheduled meetings to coordinate with various non-project organizations.	Interoffice coordination efforts.		
◦ Attend regular scheduled internal project meetings.	Inter-project communication.		
◦ Conduct regularly scheduled SC-CMS Project Steering Committee meetings.	These meetings continue to address issues and concerns identified by various stakeholder groups during the procurement process.		
◦ Preparing materials in anticipation of the King County Implementation preparation meeting scheduled in King County for July 19th.	Identify the needs associated with the implementation of the largest county in the SC-CMS project.		
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	9/5/2013	
PHASE 1 COMPLETE	5/17/2013	9/5/2013	

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

Reporting Period through July 31, 2013

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

Business Drivers	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"/>

Current Status	Scope	●	Schedule	◆	Budget	●
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Status Notes:

The schedule status indicator remains red due to past resource constraints and changes in the project approach.



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

Activities Completed	Impact/Value
✓ Contract negotiations continued with the Vendor.	Improve the efficiency of document management for the Appellate Courts.
✓ We had good statement of work meetings with the ASV which resulted in better commonality on project approach and terminology. The statement of work was fundamentally completed.	Improve the efficiency of document management for the courts.

✓ The project team is working through the terms and conditions to obtain agreement. It should be finalized within a week.	Improve the efficiency of document management for the Appellate Courts.
✓ The maintenance agreements and license agreements are nearly complete and should be finalized within a week.	Improve the efficiency of document management for the Appellate Courts.
✓ Full funding was not provided by the legislature. AOC will be seeking funding again in the supplemental budget and has committed to keeping the project moving forward in the meantime using current allocations. The PMO Manager and the Project Manager met with AOC senior management to discuss how the internal project funding process will work.	Improve the efficiency of document management for the Appellate Courts.
✓ Met with the project Executive Steering Committee on 7/17 and 7/31 to brief them on the negotiations.	Improve the efficiency of document management for the Appellate Courts.
✓ Requirements analysis for changes to JIS Link and a new public documents portal slowed due to vacation and a production issue with ACORDS.	Improve the efficiency of document management for the Appellate Courts.

Activities Planned	Impact/Value
◦ Finish contract negotiations and distribute a review draft of the contract, statement of work and maintenance agreements to the project Executive Steering Committee members for review.	Improve the efficiency of document management for the Appellate Courts.
◦ Develop the recommendation to the Judicial Information Systems Committee.	Improve the efficiency of document management for the Appellate Courts.
◦ Resume requirements analysis for changes to JIS Link and a new public documents portal.	Improve the efficiency of document management for the Appellate 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 July 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.

Business Drivers	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"/>

Current Status	Scope	●	Schedule	●	Budget	●
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Status Notes:

After release of the reports in July, it was discovered that the report detail used to calculate Time Pay differ between Superior Court and Courts of Limited Jurisdiction (CLJ). A new data structure and Time Pay Summary Report will be created for CLJ. The new report is planned for release to production in September. Project closeout will follow release of the new report. This project is planned for completion in September 2013.



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

Activities Completed	Impact/Value
✓ Fixed an error in the remit group association to Accounts Payment and Revenue and reloaded.	Provide data requirements.
✓ Fixed and reloaded an error in the Receipts table.	Provide data requirements.
✓ Added Bail Forfeiture to the CFHS data.	Provide data requirements.
✓ Loaded and tested Case Obligor summary data.	Provide data requirements.
✓ Loaded and tested Obligation Payment Schedule data for superior courts and CLJ time pay.	Provide data requirements.
✓ Tested and released PMR reports.	Provide business requirements for accounting.
✓ Tested and released Legal Financial Obligation Report for ITG 009 and 70.	Provide business requirements for accounting.
✓ Tested and released Legal Financial Obligation Extract Report for ITG 009 and 70.	Provide business requirements for accounting.
✓ Tested and released Case Financial History Report with time pay indicator.	Provide business requirements for accounting.

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
Collection case information	6/18/2013	Report completed
Legal Financial Obligation (LFO) Report	7/26/2013	Scheduled for release July 2013
A/R balance by type, A/R and payment aging (TPSE)	7/26/2013	Scheduled for release July 2013
PMR: Detail/Summary aged ARs	7/26/2013	Scheduled for release July 2013
PMR: Detail/Summary assigned to collections	7/26/2013	Scheduled for release July 2013
A/R balance by type, A/R and payment aging (TPSE)		Scheduled for release September 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 July 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.

Business Drivers	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"/>

Current Status	Scope	●	Schedule	●	Budget	●
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Status Note:
 Project Team is currently working through Development. This is comprised of three components: (1) Case selection; (2) Destruction criteria; and (3) the updated Destruction of Records Report (this is very complex). Development work for the first two components is 90% complete.

After completion of the development work, there will be an intensive unit testing stage in an environment with a great deal of data to fully verify the functionality.

The project continues to assist with project information as needed to aid the JISC, JISC Work Group or DDC in any outreach efforts to stakeholder groups in distributing the updated Data Dissemination Committee (DDC) policy draft or efforts to refine the proposed changes.

To date, the DDC retained the option for Judges to flag a case for extended retention beyond any automated rule, as necessary.

Any alterations to the policy are referred directly to the JISC Workgroup for deliberations (workgroup formed July 19). These activities are being handled by Stephanie Happold.



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

Activities Completed	Impact/Value
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✓ July 1-31: Provided business analysis support to developers coding functional requirements detail. Confirm Judge's Flag option already in the requirements -set to turn on/off as needed.	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ July 1-31: Continued more business analysis to obtain full functional requirements detail -Completed Data Dissemination Committee (DDC) consultation. Provided project information needed Court/Associations outreach for feedback (representatives from District and Municipal Court Management Association (DMCMA), District and Municipal Court Judges' Association (DMCJA) and Misdemeanor Corrections Association).	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.
✓ July 1-31: Worked with John Bell and Judge Wynne to provide support information to the 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.
✓ July 1 - August 31: Project Team developers preparing to apply current and preliminary new rules, add VRV and ETP, to active tables in November (1st Iteration).	Provides faster viewing of the Courts of Limited Jurisdiction (CLJ) records.

Activities Planned	Impact/Value
◦ Aug 1-31 Business analysis support to developers coding functional requirements detail. Confirm Judge's Flag option already in the requirements -set to turn on/off as needed.	Requirements Gathering (All rules).
◦ Aug 1 - 31: Project Team developers preparing to apply current and preliminary new rules - add VRV and ETP - to active tables in November (1st Iteration).	Re-coding the System Active Database (Current and Preliminary rules).
◦ Aug 1 - 31: Update Project Management Plan to include education/training preparation, on-boarding plan, pilot court deployment plan.	Training, on-boarding planning, and pilot court deployment activities will be planned.
◦ Aug 1 - 31: Work with new Data Dissemination Administrator Stephanie Happold and Judge Wynne to provide support to the DDC Policy update being circulated to the court community and professional associations.	Supports the policy update process.

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

Operational Area: ISD Policy and Planning

William Cogswell, ISD Associate Director

Through July 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
Portfolio Coordinator/Service Delivery	
✓ Coordinated IT Governance (ITG) requests through the ITG process – see July IT Governance Status Report.	The IT Governance process provides visibility and transparency of IT investments throughout the court community.
✓ Produced monthly Governance and Portfolio reports.	The IT Governance and Portfolio Management processes provide visibility and transparency of IT investments throughout the court community.
✓ Provided oversight of a pilot test of the new approach for conducting ITG analysis.	Improve the quality of the proposed solutions of ITG requests and improve the accuracy of the sizing estimates.
✓ Provided Clarity technical support.	Ensure the Clarity application and information is available to ISD staff and managers for time tracking, resource management, project management and portfolio management.
Release/Change Management	
✓ Announced completion of AOC Release Calendar on July 2, 2013.	Provide Leadership Team & Stakeholders visibility on ISD Software Releases in the Production Environment.
Organizational Change Management	
✓ Participating in the AOC Rules of Engagement workgroup.	Develop rules to define how AOC staff interacts with each other.
✓ Continuing ISD Policy Review/Development meetings.	Establish policies, standards, procedures, and guidelines that provide structure for the way work gets done in ISD.
✓ Continued to Organizational Change Management (OCM) work with projects and process improvement efforts.	Ensure strategies and actions are planned to manage the people side of change.
✓ Facilitated ISD Leadership Team strategic planning session on July 12 th .	Contributes to ISD Strategic and Tactical planning.
Resource Coordinator	
✓ Successfully completed weekly financials and posting timesheets in Clarity.	Provide back up for the Clarity Administrator.
✓ Ongoing resource management activities for the division.	Allows for effective management of staff resources.
✓ Worked with QA Manager to review/update QA staff's assignments to Application Support teams.	Data cleanup efforts will result in more accurate information in Clarity.
✓ Met with CMS Scheduler to review and update CMS staffing plan.	Update CMS staffing plan & Clarity to reflect project positions that have been filled, transferred to other units, current vacancies and planned hired dates.
Business Liaison	
✓ Worked with Superior Court Case Management System (SC-CMS) project team, SC-CMS Management Advisory team, RFP Steering Committee and Court Business Office (CBO) to further the SC-CMS efforts.	Ensuring that the customer's concerns and ideas are included in the SC-CMS project will help to deliver a solution that meets the customers' needs.
✓ Worked with the Organizational Change Management (OCM) team on communications and talking points for the SC-CMS project.	Helping to provide a consistent message around the SC-CMS project to both internal and external stakeholders will help support the success of the project.

✓ Provided updates and reports to Superior Court Judges Association (SCJA), Association of Washington State Court Administrators (AWSCA), Washington Association of County Clerks (WACC), and Washington Association of Juvenile Court Administrators (WAJCA) on IT activities relating to the superior courts.	Continued communications help customers to understand better the activities in ISD and for ISD to get valuable feedback to better meet the customer needs.
✓ Worked in collaboration with other AOC staff and customer stakeholders on ITG requests.	ITG requests provide customers the ability to tell AOC what is important to them and in what priority IT projects should be worked on.
✓ 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.
✓ Did preparation for, attended, and did follow-up from July JISC meeting.	Thorough preparation for JISC meetings enables AOC staff to be better prepared and address emerging issues before each meeting. Addressing questions ensures that committee members are fully informed.
✓ Identified key AOC staff for resolving the ACORDS slowness issue; held several meetings to discuss the problem and analytical data. Worked with AOC staff to identify next steps and escalation of the problem. Distributed several informational e-mails to Clerks/Administrators.	Creates AOC awareness of the problem so that it can be escalated and resolved. Informs ACORDS users of problem status and steps being taken to resolve the problem.
✓ Continued participation in ECMS project meetings.	Delivers a product that will meet the Court of Appeal's business needs.
✓ Validated the new Chronological SRA internet site and notified Judge Sperline that his request for the site has been completed.	The new site shares important information with AOC's internet users, such as lawyers.
Activities Planned	Impact/Value
Portfolio Coordinator/Service Delivery	
◦ Document the end-to-end process from the initiation of an ITG request through project management and closure.	Understand current process and obstacles to use as a basis for improving the throughput of ITG requests and the delivery of IT products and services.
Release/Change Management	
◦ Continued participation in meeting with WA State Military Dept. CIO, ISD OPS Manager, & WEB Team Lead. Facilitate development of Memo of Understanding or Interagency Agreement with WA Military Dept.	Bolster support of ongoing Security Enhancement efforts. Augment AOC Security Team with participation of a WA National Guard Information Technology Security subject matter expert.
◦ Pursue vetting of my Military Security Clearance with FBI & Homeland Security upon request of ISD OPS Manager. Coordinate with WA Military Dept. CIO.	This effort will allow the option to have an AOC Employee on a CYBER Incident Response Team who can effectively communicate with the FBI & Homeland Security.
◦ Continued participation in System Availability Meetings.	Track future changes to AOC Applications & Services in Production Environment for potential impact and deconfliction.
◦ Develop Release Calendar support documentation.	Provide framework & procedure for supporting the Release Calendar.
◦ Continue development of automated Release Notes Process.	Increased efficiency & reduced process time in support of Software Release Notes for external customer consumption.
◦ Software Development Life Cycle 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.
◦ Continued participation in Security Team weekly meetings.	Support ISD Associate Director and ISD OPS Manager in Security Enhancement efforts.

<ul style="list-style-type: none"> Coordinate with WA State Enterprise LEAN Consultant. 	Explore LEAN Processes to support AOC initiatives for process improvement.
Organizational Change Management	
<ul style="list-style-type: none"> Continue to refine ISD Organizational Change Management (OCM) procedures and templates to accompany OCM policy. 	Provides guidance to ISD employees to define organizational change management, describes the process and tools, and how to work organizational change management in projects and other ISD change efforts.
<ul style="list-style-type: none"> Begin processing proposed policies in the ISD Policy Review/Development meetings. 	Establish policies, standards, procedures, and guidelines that provide structure for the way work gets done in ISD.
<ul style="list-style-type: none"> Continue participating in the AOC Rules of Engagement workgroup. 	Develop rules to define how AOC staff interacts with each other.
<ul style="list-style-type: none"> Continue Organizational Change Management (OCM) and communication work with projects and process improvement efforts. 	Ensure strategies and actions are planned to manage the people side of change.
<ul style="list-style-type: none"> Facilitate ISD Leadership Team strategic planning session August 19th. 	Contributes to ISD Strategic and Tactical planning.
<ul style="list-style-type: none"> Plan and Facilitate ISD Leadership Team strategic planning session in September. 	ISD has a tactical plan to guide and align day to day decisions and work.
Resource Coordinator	
<ul style="list-style-type: none"> Provide Resource Management overview to the CIO, Infrastructure Manager, SC-CMS 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.
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> Meet with CMS Scheduler to review updated CMS staffing plan, make necessary changes in Clarity and compare to ISD FTE report from HR. 	Update CMS staffing plan & Clarity to reflect project positions that have been filled, transferred to other units, current vacancies and planned hired dates.
<ul style="list-style-type: none"> Draft a Resource Management Policy, pending leadership's expectations. 	Provides guidance to ISD employees to define resource management according to Leadership Team's expectations.
Business Liaison	
<ul style="list-style-type: none"> Staff Superior Court ITG Governance Groups. 	Provide staffing and support for committees and groups to effectively carry out their decision processes.
<ul style="list-style-type: none"> Distribute communications on the SC-CMS project to all stakeholders. 	Delivering communications and messages to the customers keeps them informed and improves credibility, transparency and trust.
<ul style="list-style-type: none"> Work with stakeholder associations to get concerns addressed on SC-CMS project. 	Ensuring that messages from stakeholder groups are brought to the project team to help keep stakeholders and project team informed, improving credibility and trust.
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> Participate in projects and programs as a customer liaison, providing a customer perspective. 	Ensuring that the customer perspective is considered and heard on customer impacting projects is essential to delivering a solution that meets the needs of our customers.
<ul style="list-style-type: none"> Continued involvement with resolving the ACORDS slowness issue; communicate status to the Clerks as new information is available. 	Keeps the COAs and Supreme Court informed of the progress in resolving the ACORDS slowness issue.
<ul style="list-style-type: none"> Continued participation on ECMS project and in project meetings. 	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"> Continue to coordinate the stakeholder input process for customers on ISD projects. 	Direct customer input on IT projects helps ensure a successful project outcome.
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> 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.

Operational Area: Architecture & Strategy

Kumar Yajamanam, Architecture & Strategy Manager

Through July 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"> ✓ In July, the Court User Work Group continued discussion of the case-number format to be employed in Odyssey, with an emphasis on the business needs to be addressed by the format. The related discussion of case types continued. Additional progress was made on the "as-is" business process models. 	<p>The Court User Work Group (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 (SC-CMS).</p>
<ul style="list-style-type: none"> ✓ Enterprise architecture perspective was provided to the JIS Codes Committee and staff in preparation for, and during, their monthly meeting. In July, several requests were discussed, but action was tabled for all, due to under-representation of CLJ members (given a conflict with a DMCMA meeting). 	<p>The JIS Codes Committee reviews code requests against established guidelines. It prioritizes implementation of those which are approved.</p>
<ul style="list-style-type: none"> ✓ All Solution and Enterprise Architects were trained in TOGAF 9.1 (The Open Group Architecture Framework). TOGAF provides a comprehensive approach for designing, planning, implementing, and governing enterprise information architecture. 	<p>Enterprise information architecture is central to ISD's transformation. It provides the path to a Future State Architecture which best meets the courts' business vision, while improving returns on investment, reducing risk for future investment, and allowing for faster, simpler, and cheaper procurement.</p>
<ul style="list-style-type: none"> ✓ Work continued on a number of IT Governance requests. 	<p>The Information Technology (IT) Governance process is the framework by which IT investment decisions are made, communicated, and overseen. The process promotes transparency, openness and inclusiveness, holistic review of business problems, and a streamlined review utilizing consistent rules.</p>
Activities Planned	Business Value
<ul style="list-style-type: none"> ◦ The Court User Work Group (CUWG) will next meet on August 14-15. 	<p>The Court User Work Group (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 (SC-CMS).</p>
<ul style="list-style-type: none"> ◦ ITG-158 - revised request for development of two mental-health screening tools (MAYSI-2 and the MH-JDAT) electronically on an AOC server: A revised analysis (corresponding to the updated request) is being prepared for OCB (Operations Control Board) consideration in August. 	<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"> ◦ Enterprise Strategies: Collaborative architectural planning will continue in August, with an immediate goal of facilitating SC-CMS implementation discussions with Tyler. 	<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>

Operational Area: Infrastructure

Dennis Longnecker, Infrastructure Manager

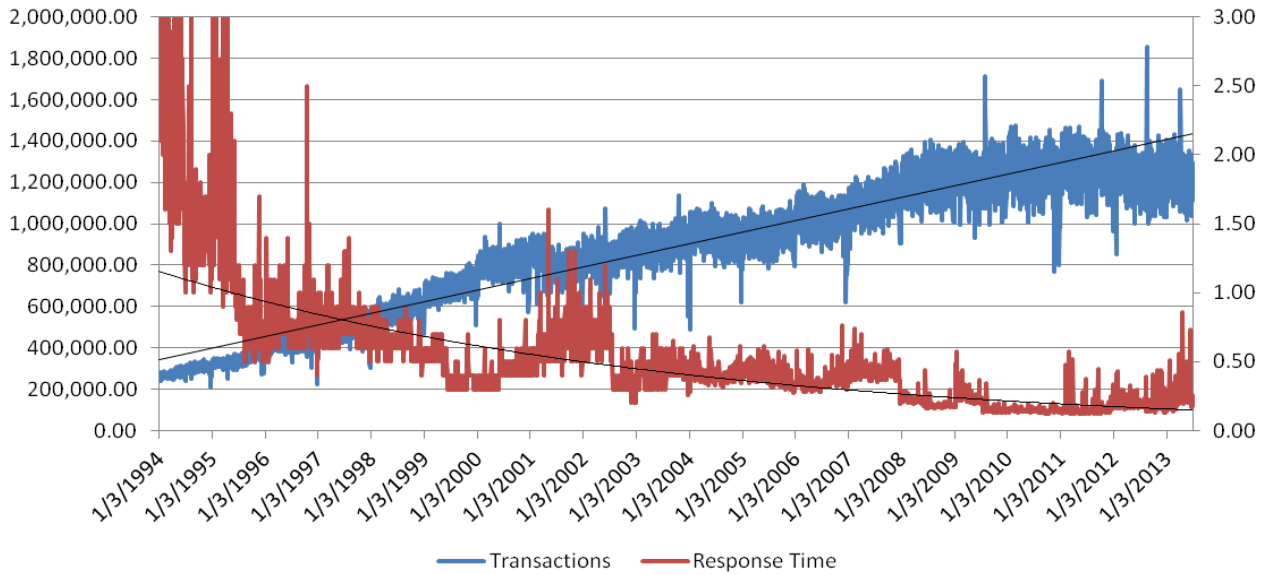
Through July 31, 2013

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 which is occurring on September 13-14, 2013.	Disaster Recovery is a JIS activity which ensures the JIS systems would be available in the event of a disaster (either localized or large).
✓ 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 CICS/TS 5.1, which is the application server for SCOMIS and DISCIS, so we can migrate to production.	Maintaining current and supported software levels ensures users are able to continue to work.
✓ Waiting for testing of WebSphere 8.5, this is the application server used by ACORDS, CAPS, and JABS.	Maintaining current and supported software levels ensures users are able to continue to work.
✓ During the month of July 2013: Spam Filtering prevented 253,700 e-mails from entering the system. Only 118,200 e-mails were valid.	

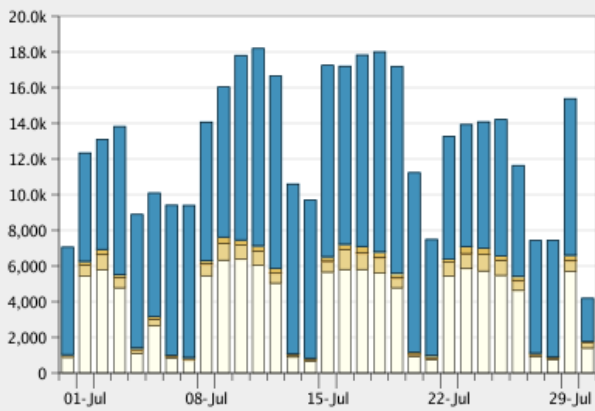
JIS Daily Transactions and Response Time



30 Jun 2013 00:00 to 30 Jul 2013 08:18 (GMT -07:00)

Data in time range: 100.0 % complete

Incoming Mail Graph

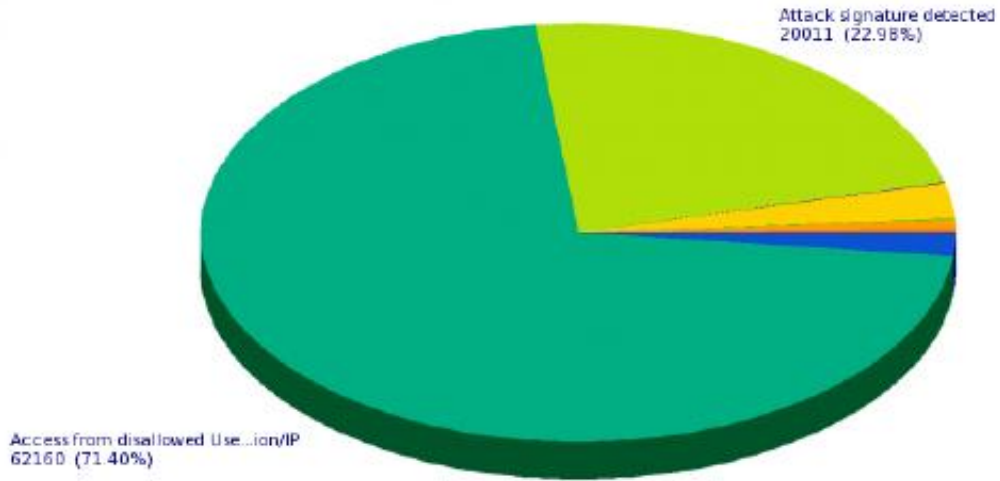


Incoming Mail Summary

Message Category	%	Messages
Stopped by Reputation Filtering	64.3%	253.7k
Stopped as Invalid Recipients	0.0%	12
Spam Detected	1.6%	6,436
Virus Detected	0.0%	13
Stopped by Content Filter	4.1%	16.3k
Total Threat Messages:	70.0%	276.5k
Clean Messages	30.0%	118.2k
Total Attempted Messages:		394.7k

Web Access Firewall installed and operational. Blocking illegal traffic.

Illegal Transactions per Violation

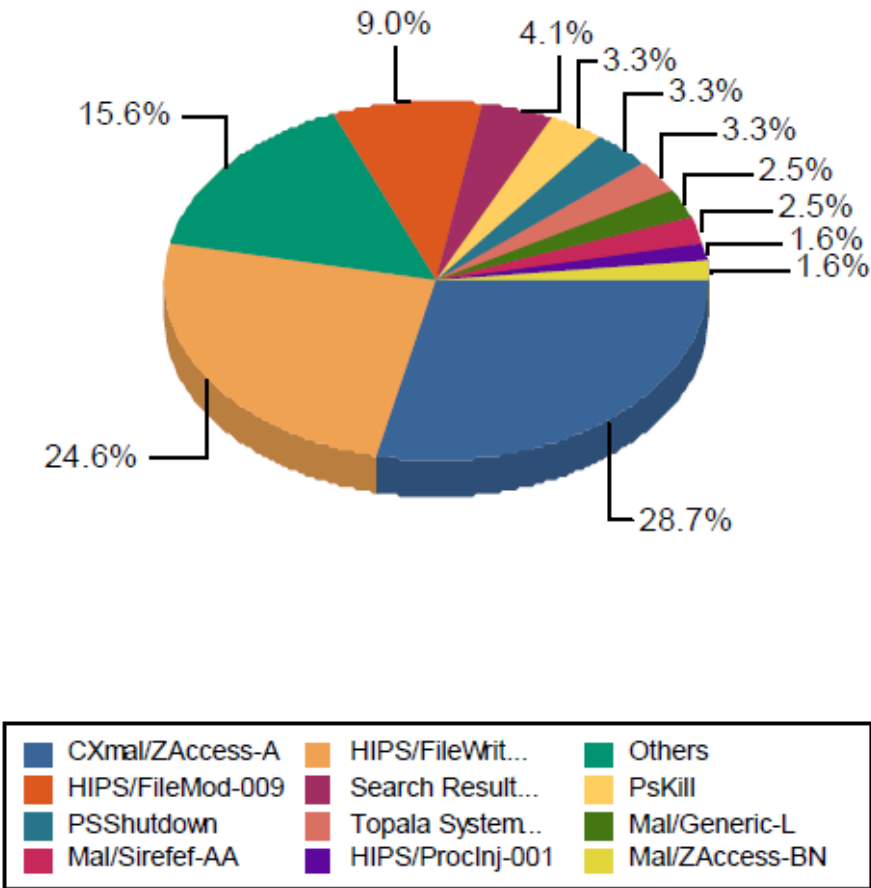


Viewing statistics from 06/29/13 20:01 to 07/29/13 20:01

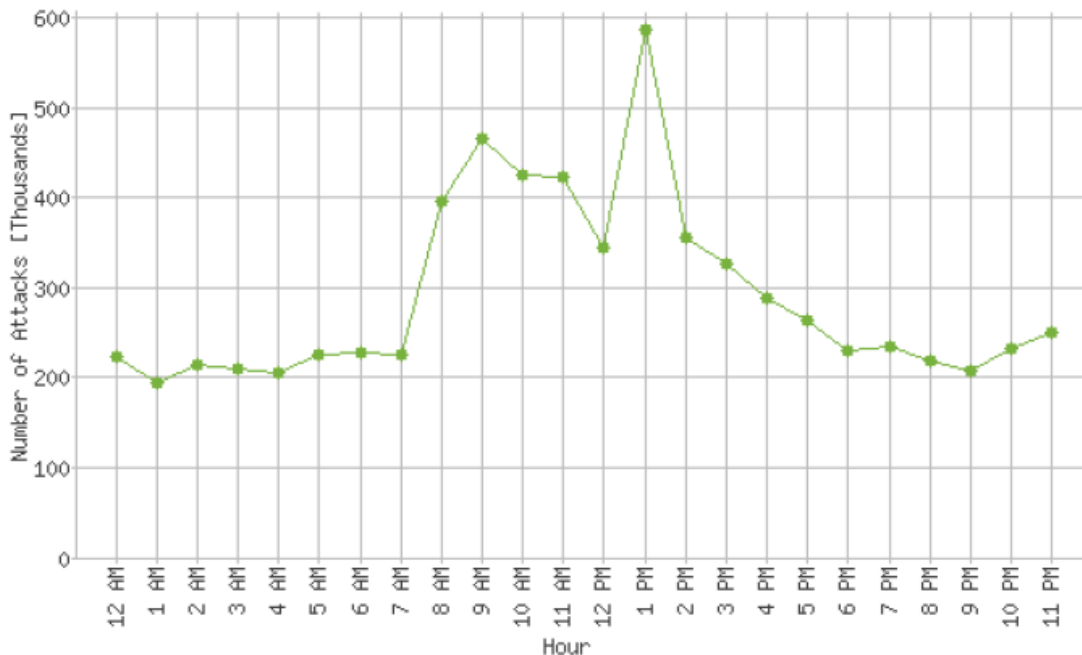
Violation	Illegal Transactions
Data Guard: Information leakage detected	223
Evasion technique detected	649
Failed to convert character	48
HTTP protocol compliance failed	2365
Illegal cookie length	51
Illegal method	1
Attack signature detected	2001
Access from disallowed User/Session/IP	62160
Cookie not RFC-compliant	9
Illegal HTTP status in response	1546

SECURITY REPORT

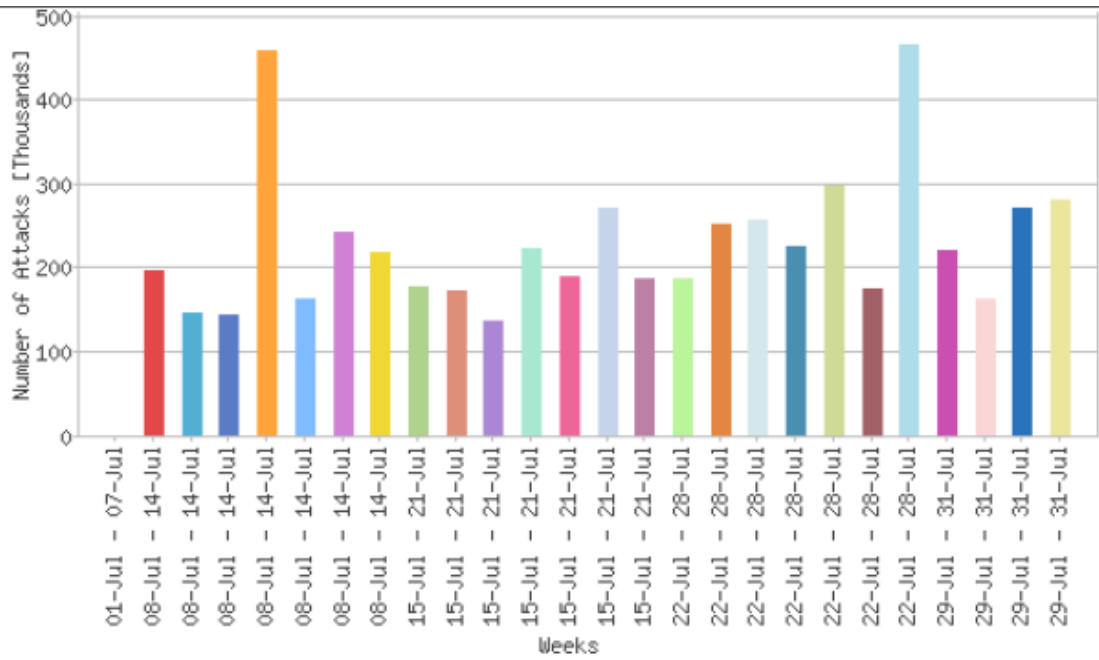
Virus's prevented by AOC filters



Security Attacks prevented by the Firewall by Hour of the Day



Security Attacks prevented by the Firewalls by day of week for July:



Operational Area: Data & Development

Tamra Anderson, Data & Development Manager

Through July 31, 2013

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

Description: The Data & Development Section is comprised of three 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
<u>Data Warehouse Unit</u>	
✓ Fixed an error in the remit group association to Accounts Payment and Revenue and reloaded.	Provide data requirements.
✓ Fixed and reloaded an error in the Receipts table.	Provide data requirements.
✓ Added Bail Forfeiture to the CFHS data.	Provide data requirements.
✓ Loaded and tested Case Obligor summary data.	Provide data requirements.
✓ Loaded and tested Obligation Payment Schedule data for superior courts and CLJ time pay.	Provide data requirements.
✓ Tested and released PMR reports.	Provide business requirements for accounting.
✓ Tested and released Legal Financial Obligation report for ITG 009 and 70.	Provide business requirements for accounting.
✓ Tested and released Legal Financial Obligation extract report for ITG 009 and 70.	Provide business requirements for accounting.
✓ Tested and released Case Financial History Report with time pay indicator.	Provide business requirements for accounting.
✓ Caseload Changes.	Legislative changes implementation.
✓ Completed 1 Eservice Request for Legislation.	Provided BOXI solution.
✓ Completed 11 Eservice Request for Data Dissemination.	Provided BOXI solution.
<u>Data Exchange/Development Unit</u>	
✓ Supported QA testing effort for INH services.	Help with completing the QA testing of the first and second releases of INH services.
✓ Continue development for the third set of INH services for QA testing.	Helps to complete the development of rest of the planned INH services.
✓ Continue to triage INH service 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.
✓ Collaborate and coordinate with Pierce County on their requested change to implement HTTPS transport of their messages into AOC.	Provide the necessary infrastructure for message transport using SSL encryption for Pierce County's messages.
✓ Collaborated with the Legacy team to prioritize the development effort for Automatic Docket entry issue raised during Pierce County's testing of the SCDX Docket services.	Establishes a business based option for resolving the issue which satisfies the needs of the SCDX project as well as meet the business needs of other courts and applications (like CMS).
✓ Started dialogue with Dept. of Licensing to analyze the requirements for consuming their new web service for the Abstract Driver Record (DOL ADR) information currently displayed in JIS, JABS and ETP.	Helps to understand the impacts and implications to the court user community with the consumption of the new DOL web service.
<u>Data Quality and Governance</u>	
✓ Perform database design reviews: <ul style="list-style-type: none"> Review 14 requests supporting INH Services, JABS, E-Ticketing, and Citation changes related to marijuana legalization. Externalize business logic related to managing the Domestic Violence flag on screens related to Civil Case Filing and Data Quality. 	Change management of data designs.
✓ Facilitate update of Class Word data standards.	Aid the formal naming of new data elements.
✓ Resolve Data Quality Foreign Key Discrepancies.	Analyze and document 1 issue related to referential integrity, bad data and not needed data that need deeper analysis and/or cleanup.
✓ Testing and planning the rollout for version 9.5 of ER/Studio.	Support for DB2 version 10 and SQL Server 2012 constructs in data designs.
✓ Final edits of the Data Quality Assessment have 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.
✓ Data Quality Roadmap drafted.	Provides the milestones necessary to implement the Data Quality Program.
✓ Research and analyze data related issues.	Documented additional issues related to referential integrity, validation rules, bad data and missing values that need deeper analysis and/or cleanup.
Activities Planned	
<u>Data Warehouse Unit</u>	
◦ Test and release data for Time Pay report.	Provide business requirements.
◦ Release updates to universe for report changes.	Provide data for requested reports.
◦ Accounting DW Project Close out.	Provide lessons learned.
◦ Universe redesign for user access.	Begin working on universe for users to create their own reports.
<u>Data Exchange/Development Unit</u>	
◦ Continue to support QA testing for INH services.	Help with completing the QA testing of the deployed INH services.
◦ 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, and development group to establish HTTPS at AOC's end-point for Pierce County's messages.	Meet the needs of Pierce County for SSL encryption of their messages.
◦ 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 the remaining INH services	Facilitate development of INH Web service for the Get services.
◦ Continue the discussion with the legacy maintenance team regarding the DOL ADR web service.	Helps AOC to move to DOL's new web service for obtaining Driver Abstract records.

<ul style="list-style-type: none"> ◦ Find alternative approach to storing RACF credentials in SSO that is more secure. 	Improving the security architecture for some of the BizTalk application infrastructure.
<p><u>Data Quality and Governance</u></p>	
<ul style="list-style-type: none"> ◦ Support Database Design Review requests. 	Change Management of database designs.
<ul style="list-style-type: none"> ◦ Data Profiling Foreign Key Analysis Project. 	<p>Research and Analysis of data related issues.</p> <p>Continue researching available resources for mapping meta data to data elements as related to Data Quality Assessment activity prioritization and progress tracking.</p>
<ul style="list-style-type: none"> ◦ Testing and rollout planning for version 9.5 of ER/Studio. 	Support for DB2 version 10 and SQL Server 2012 constructs in data designs.
<ul style="list-style-type: none"> ◦ 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.
<ul style="list-style-type: none"> ◦ 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).
<ul style="list-style-type: none"> ◦ In-depth research and analysis for data related issues identified from data profiling assessment. 	Documented additional issues related to referential integrity, validation rules, bad data and missing values that need deeper analysis and/or cleanup.

Operational Area: Operations

Mike Keeling, Operations Manager

Through July 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 – design in review.	Final design is a project milestone.
✓ SharePoint 2010 – site owner and user training materials started.	Required for migration.
✓ Java – completed development work on ITG requests 58/37/79 (Plain Paper Warrants).	Allow courts to print warrants on plain paper instead of impact printer forms, thereby lowering cost and increasing ease-of-use.
✓ Java – work on ITG request 163 (WebSphere Application Server upgrade).	Improve security and reliability and decrease development time for new and existing Java applications.
✓ Java – Security improvements to various applications.	Reduce security vulnerabilities.
✓ Java – released JABS versions 5.5 and 5.6 with one bug fix and changes to improve performance.	Improve reliability and performance of JABS.
✓ Java – completed development work on DOL Sender to be released in August with bug fixes and legislatively mandated changes.	Maintain application as business requirement change.
✓ Java – completed development work on new JABS release to be released August 5 th with one legislatively mandated change and one bug fix.	Maintain application as business requirement change.
✓ DX – work on BizTalk system recovery and data recovery after a SQL Server outage due to SanDisk failure.	Ensure the normal operation of the BizTalk environment.
✓ JCS -- Continued testing of JCS version 2.53.	Version 2.53 increments the minimum Internet Explorer version supported from 5.5 to 7, makes security fixes to the reports, letters and forms, and juvenile image functionality, and continues to apply code optimization to make the application more maintainable long-term. Anticipated release in September 2013.
✓ JCS -- Continued development of JCS version 2.54.	Version 2.54 will be a security fix release that addresses various security and application issues that have been identified as areas for improvement.
✓ ASRA -- Continued development of ASRA version 1.05.	Version 1.05 will be a security fix release that addresses various security and application issues that have been identified as areas for improvement.
✓ JCS -- Attended JCS Detention, Referral, and Administration trainings.	Sat in on JCS training classes in late July as part of ongoing reviews of system functionality for potential improvements, as well as promoting requests for changes and features within the juvenile courts.
✓ Legacy Maintenance - Legislative 2013 added THC level to JIS PLS process.	2013 Legislative changes to process/track individuals who are under the influence of marijuana (THC).
✓ Legacy Maintenance - Legislative 2013 added accounting codes.	2013 Legislative changes to track and receipt money.
✓ Legacy Maintenance - Legislative 2013 added new Civil Cause Code and Order Type Codes.	2013 Legislative changes to modify stalking and harassment protection orders.

✓ Legacy Maintenance - Modified parking process to not update defendant name with 'Unknown Vehicle Violator'.	Parking process will not increase the number of defendant names with 'Unknown Vehicle Violator'.
✓ Legacy Maintenance - When a cause code is changed on a Civil Case the system does not validate the primary participant types.	The system will validate the primary participant types for new cause codes.
✓ Legacy Maintenance - No audit trail is created when changes are made on civil cases.	Docket entries will be created by the system when CV cases are added or updated.
✓ Legacy Maintenance - CIVA and CIV screen were allowing case participants to be added twice on pre-filed cases which caused errors.	CIV screens were modified to check for pre-filed cases and not allow duplicate participants.
✓ Legacy Maintenance - CIVA allowed secure case type to be filed without authorization.	CIVA will for an authorization check for secure case types and give an error if not authorized.
✓ Legacy Maintenance - When adding a participant with the sequence 99, CIVA and CIV screens do not check to see if there is an existing case participant.	CIVA and CIV screens check for existing participants when generating the participant sequence number.
✓ Legacy Maintenance - When CIVT has a case with a "Payment to Person" on the judgment but the case participant is inactive, multiple screens get errors after the case is transferred because the participant is not active.	The system has been modified to not allow a participant to be removed if they are a "Payment to Person" on this case.
✓ Legacy Maintenance - When the cause code is changed on the CIVA or CIV screen, the system does not check to see if the primary participant types are correct for the new cause code.	The system has been modified to check if the primary participant types are correct for the new cause code.
✓ Legacy Maintenance - Support for new UAT (QA team) environment for INH project.	To provide separate testing environments for AOC internal use and external customers.
✓ Legacy Maintenance – completed development work on ITG requests 58/37/79 (Plain Paper Warrants).	Allow courts to print warrants on plain paper instead of impact printer forms, thereby lowering cost and increasing ease-of-use.
✓ Web: Move SRA to the public site.	Requested by Judge Sperline from Grant County, moving the Chronological Sentencing Reform Act to Washington Courts makes it available to prosecutors, attorneys, and the general public.
✓ Web: Continued Security Improvements.	Completed work on synchronized publishing to the Washington Courts site. Completed removal of redundant task information from Inside Courts and Washington Courts. Work continues on: <ul style="list-style-type: none"> • Web Application Firewall Configurations. • Synchronization publishing for Inside Courts to prevent illicit file creation and eliminate FTP. • Continued migration to Secure File Transfer services (90% complete). • Further code revisions to eliminate vulnerabilities. • Cleaning up old/redundant content. • Migrating COA2 site to SSL.
Activities Planned	Impact/Value
◦ SharePoint 2010 – Finalize design (delayed again).	Required milestone.
◦ SharePoint 2010 – Finish training materials.	Required for migration.
◦ SharePoint 2010 – start migration (delayed).	Project milestone.
◦ Java – Security improvements to various applications.	Reduce security vulnerabilities.
◦ Java – release DOL Sender with bug fixes and legislatively mandated changes.	Maintain application as business requirement change.
◦ Java – release JABS with one legislatively mandated change and one bug fix.	Maintain application as business requirement change.
◦ Java – performance improvements to ACORDS.	Improve user experience.

<ul style="list-style-type: none"> ◦ DX – VRV On-boarding of Lake Forest Park, SeaTac, Kent municipal courts. 	<p>Vehicle-related violation tickets can be sent electronically from LEA to JIS directly, saving court manual ticket entry.</p>
<ul style="list-style-type: none"> ◦ Complete testing of JCS version 2.53. 	<p>Version 2.53 increments the minimum Internet Explorer version supported from 5.5 to 7, makes security fixes to the reports, letters and forms, and juvenile image functionality, and continues to apply code optimization to make the application more maintainable long-term. Anticipated release in September 2013.</p>
<ul style="list-style-type: none"> ◦ Complete development of JCS version 2.54 and send to testing. 	<p>Version 2.54 will be a security fix release that addresses various security and application issues that have been identified as areas for improvement.</p>
<ul style="list-style-type: none"> ◦ Begin testing of ASRA version 1.05. 	<p>Version 1.05 will be a security fix release that addresses various security and application issues that have been identified as areas for improvement.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - Begin setup of Natural/CICS upgrade in preparation for testing. 	<p>Test Natural/CICS upgrade.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - RN support. 	<p>Continue support of RN incidents.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - CQ fixes. 	<p>Work on CQ problems in JIS/SCOMIS.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - ISPW problems. 	<p>Work on ISPW configuration problems caused by possible security upgrades.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - SCDX SCOMIS support/changes to existing system. 	<p>SCOMIS docket change to support SCDX.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - ITG 58/37/50 Plain Paper Warrant. 	<p>Support QA testing.</p>
<ul style="list-style-type: none"> ◦ Legacy Maintenance - ITG 41. 	<p>Continue development.</p>
<ul style="list-style-type: none"> ◦ Web: Continued Security Improvements. 	<p>Web Application Firewall Configurations. Continue with Synchronization publishing to prevent illicit file creation and eliminate FTP (Inside Courts and WWW). Continued migration to Secure File Transfer services (90% complete). Further code revisions to eliminate vulnerabilities. Cleaning up old/redundant content. Migrating COA2 site to SSL.</p>
<ul style="list-style-type: none"> ◦ Web: Sub-site Publishing Framework and Template. 	<p>Continue working on a template and utilities to support committees and court related entities to publish 'sub-sites' on the courts site via a standard method and common design.</p>
<ul style="list-style-type: none"> ◦ Web: Release changes to the Law Library Site. 	<p>The updates to the law library site add a great deal of content to their site, including many more reference and resource links. It also has more forms, for example, allowing users to make suggestions for acquisition, and promotes more automation for newsletter distribution. The updates also provide a more up-to-date look and feel for the library pages.</p>
<ul style="list-style-type: none"> ◦ Web: Resolve ColdFusion 10 and Web Service Issues. 	<p>Work with Adobe to resolve issues with ColdFusion 10 and the registration and consumption of web services. These issues need to be resolved before the ColdFusion 10 upgrade can be applied to all web servers. ColdFusion 10 provides a more secure platform and improved features.</p>



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