CITY OF SPOKANE

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

TRACY A. STAAB
MUNICIPAL COURT JUDGE

March 28, 2011

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

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

Ladies and Gentlemen:

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

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

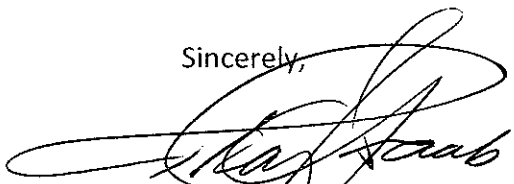
Moving to this software and a paperless system will streamline work order, eliminate the need for duplicate data-entry between the various agencies, reduce the error rate, speed up the flow of information, and provide greater access to justice. New Dawn has assured the court that its software will bridge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

SPOKANE MUNICIPAL COURT COMPLIES WITH AMERICANS WITH DISABILITIES ACT (ADA).
PERSONS WITH LIMITATIONS THAT WOULD REQUIRE ACCOMMODATIONS SHOULD CALL THE COURT (509) 625-4400.

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

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

Sincerely,



Tracy A. Staab
Spokane Municipal Court Judge

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

Spokane Municipal Court
Request for Approval To
Implement a Local Automated Court Record System
May 6, 2011

Purpose

To determine the standards and criteria that must be met by Spokane or any court requesting to implement a Local Automated Court Record System to ensure that required data is imported into the Judicial Information System (JIS) database to be available for statewide access.

Background

On March 28, 2011, the Judicial Information System Committee (JISC) and State Court Administrator, received a letter (see attachment) from the Spokane Municipal Court requesting approval to purchase *JustWare* software from New Dawn Technologies. They are seeking JISC approval based on the JISC Rule 13 – Local Court Systems. They particularly want this software because three other departments within their jurisdiction (probation, prosecution, and public defenders) are already using it. Because of that relationship, they are able to obtain a sole source quote. Having this software in place will provide them with an all-encompassing and paperless court records system.

The District Court Information System (DISCIS) is the current statewide person-centric court case management system used at the Courts of Limited Jurisdiction (CLJ) level. DISCIS is used for initiating case filing for well-identified persons and CLJ cases. It is also used to manage persons, case-related financial activities, CLJ calendaring and to perform other functions including delinquent payment processing.

JISC Rule 13 – Local Court Systems *(Effective Date May 15, 1976)*

"Counties or cities wishing to establish automated court record systems shall provide advance notice of the proposed development to the Judicial Information System Committee and the Office of the Administrator for the courts 90 days prior to the commencement of such projects for the purpose of review and approval."

Statutes & Court Rules

The JIS is the designated statewide repository for criminal and domestic violence case histories. A complete case and person history is essential to the business of the courts for judicial decisions regarding public safety. Therefore, all Washington State Municipal, District, and Superior Courts are required to enter cases into JIS for the purpose of providing a central, statewide data repository for criminal and domestic violence related information.
Reference RCW 26.50.070(5), 7.90.120, 10.95.045.

Current Status

Spokane Municipal Court

- They are awaiting the decision by the JISC.
- Cindy Marshall, the Spokane Court Administrator, is planning to attend a week long New Dawn technology conference in Logan, Utah from May 9-13 to gain a better understanding of the software and how to use it.
- They are **not** planning to do any conversion of JIS data into the new JustWare CMS system. They are simply going to pick an implementation date and from that date forward begin entering new cases into the new system.
- New Dawn has estimated that it will be a 6-month deployment effort.
- They would like to begin June 1, 2011 with a target implementation of January 1, 2012 (understanding that the schedule is totally dependent on the decision of the JISC).
- Contacts:
    - Cindy Marshall, Spokane Court Administrator, 509-625-4450
    - Jim Bledsoe, Justware Administrator, 509-625-6228
    - Denny Bork, Spokane City MIS, 509-625-6954

Administrative Office of the Courts / Information Services Division

AOC is in the process of determining the key questions for discussion as well as the standards and criteria by which the JISC could evaluate this request to make their decision. Below are a sampling of some of the issues or concerns that need to be addressed:

Category	Items for Consideration
Functionality	• Is there new or unique business functionality that will be provided by the new system that is beyond what is already provided by the statewide system?
Data Sharing	• Currently, data sharing occurs across the CLJ's because the statewide data is housed in JIS. By approving this request, will there be a degradation of available statewide data for all other courts across the state? • How would the new system interface with JIS? • What data needs to be exchanged with JIS? • AOC shares JIS information with other partner agencies (i.e. DOL). How would the new system continue to meet that need? • Would interfaces be required with other JIS systems (i.e., Judicial Access Browser System (JABS), DISCIS, Electronic Ticket Processing (ETP), and SCOMIS)?

JIS Impacts	• Will this request increase the overall state cost to JIS to implement whatever is necessary to accommodate it? • Who is responsible to fund the integration work and activities with the JIS System that will be required of ISD staff? • Will this request require ISD resources to implement a data exchange with the new Case Management System? If so, where does this request fall in the IT Governance process? ISD staff would not be available to work on other JISC prioritized Governance requests.
Financial & Audit Activities	• DISCIS is used to collect, record, distribute and report all case related financial information. How would these activities be handled in the new system? • Would the system maintain the existing revenue collection, distribution and reporting functionality currently contained in JIS? • How would AOC audit the system to ensure that funds are appropriately split and distributed ? • The new system would need to ensure compliance with Legislative mandates and changes.
Security	• Access to any new CMS system must meet AOC Security standards to ensure that it will not jeopardize the statewide JIS system and data.
Business Rules	• The business rules must match the JIS business rules to ensure the quality & integrity of the data.
Data Integrity	• The Person ID's and Person rules for the new system must match the state. • The Law Table must stay in sync with the official one at AOC. • Spokane would be responsible for implementing annual legislative updates to their own system as is currently done in JIS. • The Attorney Search and Find My Court Date would not show up on the public web search if the Spokane data exchange file went into the "Inactive Database" as the Seattle Municipal court records currently do now.
Disaster Recovery	• What is their plan to deal with Disaster Recovery and Back-up of court information? ISD would not be responsible for any Disaster Recovery activities with the new system. They would be on their own.

Technical Requirements	• The requesting court would need to meet ISD's Enterprise Architecture technical requirements to ensure alignment and compliance with the AOC Future Enterprise Architecture stated direction.
Impacts Across All AOC Divisions	• Requirements gathering and validation will require substantial internal AOC subject matter expertise from JSD (JIS Education, Legal Services, Customer Services, Research, and Court Services) and MSD. These staff resources are already overcommitted with projects approved or working their way through the JIS governance process. • The proliferation of products and services complicates statewide training programs for court personnel, customer service responses to courts and the public, and the ability to analyze and accurately report on caseload statistics, finance, and other data on a statewide basis. • Coordinating law table and legislative changes with AOC to ensure consistency adds workload and complexity to AOC's processes, and most of the impact will be on JSD and MSD.
Other Considerations	• Will approval of this request establish precedent for other courts of limited jurisdiction to similarly obtain their own systems?

Project Charter

Washington State Administrative Office of the Courts
Information Services Division

for

Superior Court Management
Feasibility Study (SCMFS) Project

Version 3.1
March 18, 2011

Prepared by
AOC Information Services Division/PMO

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Version History

Version	Version Date	Author	Major Version Changes	Reviewers	Review Date
1.0	2010-11-01	Deven Zipp	Original Draft		
1.1	2010-11-29	Deven Zipp	Added appendices. All other changes noted with revision marks.		
1.2	2010-11-30	Deven Zipp	Incorporated revisions from project lead and added minor edits.		
1.3	2010-12-06	Deven Zipp	Added scope diagram & definitions. Changed PM to Kate Kruller.		
1.4	2010-12-06	Deven Zipp	Added feedback from Kate Kruller.		
	2010-12-06	Deven Zipp	Added final edits from Bob Marlatt and Kate Kruller.		
2.0	2010-12-28	Kate Kruller	Finalized Charter; Signed		
3.0	2011-03-09	Kate Kruller	Charter Amendment		
3.1	2011-03-17	Kate Kruller	Added feedback from ESC		

Authorizing Signatures

This project charter represents an agreement between several Washington State Superior Court departments and the Administrative Office of the Courts/Information Services Division (project contracting firm MTG Management Consultants, LLC, inclusive). My signature indicates that I have reviewed this project charter and concur with its contents.

Date 4-4-2011 Kate Kruller SCMFS Project Manager Information Services Division Administrative Office of the Courts	Date 4/7/2011 Vonnie Diseth Director/CIO Information Services Division Administrative Office of the Courts
Date 4/11/11 Joseph Wheeler SCMFS Vendor Project Officer MTG Management Consultants, LLC	Date 4/8/11 Robert Marlatt SCMFS Vendor Project Lead MTG Management Consultants, LLC
Mary E. Fairhurst Date 4/13/11 Justice Mary Fairhurst Chair Judicial Information System Committee	Date 4/8/11 Jeff Hall State Court Administrator Administrative Office of the Courts

Courtesy copies provided to:

Judge Steve Warning, President -Superior Court Judges Association (SCJA)
Kevin Stock, President - Washington State Association of County Clerks (WSACC)
Delilah George, President - Association of Washington Superior Court Administrators (AWSCA)

Ramsey Radwan – AOC Management Services Director
Dirk Marler – AOC Judicial Services Division Director
Jennifer Creighton – AOC Program Management Manager
Bill Cogswell – AOC Associate Director/Operations Manager
Kumar Yajamanam - AOC Architect Strategy Manager

A. Introduction

Project Name:	Superior Court Management Feasibility Study	***Creation Date:***	2010-07-09
Governing Body:	Judicial Information Systems Committee (JISC)	***Revision Date:***	2011-03-18
Project Agency:	Administrative Office of the Courts (AOC) / Information Services Division (ISD)	***Contracting Firm:*** *(PSC 11062)*	MTG Management Consulting, LLC
Project Manager:	Kate Kruller	***Authorized by:***	Vonnie Diseth

Key Stakeholders:

- Superior Court Judicial Association (SCJA)
- Washington State Association of County Clerks (WSACC)
- Association of Washington Superior Court Administrators (AWSCA)
- Project Executive Sponsor Committee (ESC)
- AOC Senior Management
- ISD Senior Management
- AOC Superior Court Subject Matter Experts
- ISD functional area Subject Matter Experts (SMEs)
- ISD Managers

B. Executive Summary

The Superior Court Management Feasibility Study (SCMFS) Project is intended to provide the research and analysis needed to make informed decisions on which software applications would meet the business needs of the Superior Courts for calendaring and for 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.

This is a Judicial Information System Committee-approved project being conducted under the auspices of the Administrative Office of the Courts (AOC)/Information Services Division (ISD).

This project will follow the Project Management Institute (PMI) methodology – Project Management Body of Knowledge (PMBOK) guidelines where appropriate and generate the prescribed artifacts and control points identified in that methodology.

C. Project Overview

In 2008, the JISC contracted with Ernst and Young to produce a series of strategic, business and operational plans to guide the JISC and AOC in the development and implementation of new information technology solutions and, where appropriate, the retirement and replacement of legacy applications. This feasibility study will represent the first effort under the plans developed by Ernst and Young to extend the level of business functionality provided to the courts and promote the potential modernization of one or more legacy applications.

In April 2010, under the governance model adopted by the JISC, the Superior Court Judges' Association (SCJA) Board of Trustees requested that the JISC direct the Administrative Office

of the Courts (AOC) to conduct a feasibility study for a court-based calendaring and case management system. The request asked that the feasibility study focus on commercially available programs, a statewide approach compatible with data transmission needs of AOC, and to focus on a system that would be ready to implement on July 1, 2011.

As a result, on June 25, 2010, the JISC approved a Request for Proposal (RFP), seeking an independent contractor to conduct a feasibility study regarding the acquisition and implementation of an automated system in support of the calendaring and case flow management business function of the superior courts. The study would also include other functions beyond calendaring and case management provided by each vendor.

In September, 2010, the Washington Association of County Clerks was asked to participate as partners with the judges in this request. The request was updated and modified in December, 2010 as a result of adding the County Clerks to the stakeholders for the project, recommendations made by the Executive Sponsor Committee (ESC) for the project and by the JISC.

The current request includes the original request made by the SCJA as well as an expanded scope of functionality as approved by the JISC on December 7, 2010. The Superior Court Management Feasibility Study (SCMFS) is now intended to provide the research and analysis needed to make informed decisions on which software applications would meet the business needs of the Superior Courts for calendaring and for 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.

D. Project Objectives

This Superior Court Management Feasibility Study (SCMFS) project Phase I will consist of:

- Completing business and technical requirements analysis necessary to support the calendaring, caseflow management and other business functions of the Superior Courts.
- Identifying and assessing market product alternatives, as well as the Pierce County LINX system, to provide calendaring, caseflow management, along with participant/party information tracking, case records and relevant disposition services functions and other business functions of the Superior Courts.
- Evaluating market alternative systems with calendaring and caseflow management, along with participant/party information tracking, case records and relevant disposition services functions, with a focus on interoperability with AOC legacy systems (systems built on older, unsustainable technology platforms), along with data integration and migration requirements.
- Determining the feasibility, issues, and risks of a project to implement a system or service which provides calendaring, caseflow management, along with participant/party information tracking, case records and relevant disposition services functions of the Superior Courts in a non-unified court environment across 39 counties.
- Providing realistic cost estimates and timelines to implement a system comprised of a calendaring, caseflow management, along with participant/party information tracking, case records and relevant disposition services functions, for the Superior Courts.

At its discretion, the AOC may also extend contractor involvement into the Superior Court Management Feasibility Study (SCMFS) project Phase II, which will consist of:

- Developing a Request for Proposal (RFP) that clearly states the business and technical requirements and vendor responsibilities for implementing the selected best-few alternative solutions recommended as an outcome of Phase I.
- Developing the assessment criteria and the RFP evaluation process necessary to support selection of the proposal that best meets the system and program requirements defined in the RFP.

This project will follow the Project Management Institute (PMI) methodology – Project Management Body of Knowledge (PMBOK) guidelines where appropriate and generate the prescribed artifacts and control points identified in that methodology.

E. Project Scope

The project will follow a two-phased approach to address the scope:

Phase I Activities
1. Requirements Analysis and Vendor Product Alternatives Assessment
2. Cost Estimation

Phase II Activities if elected to proceed by AOC
1. Procurement RFP, Bidder Assessment Criteria and Evaluation Process

The scope of this project includes and excludes the following items as approved by the ESC and JISC and detailed in Appendix A and Appendix B:

The scope of this project is to provide the research and analysis needed to make informed decisions on which software applications would meet the business needs of the Superior Courts for calendaring and for 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.

1. **In Scope:**

   - Calendaring and Scheduling needs for Superior Courts: Schedule, Administrative Capabilities, Calendar, Case Event Management, Hearing Outcomes, Notifications, Reports & Searches

   - Manage Case business needs for Superior Courts: Initiate Case, Case Participant Management, Adjudication/Resolution/Completion, Search Case, Compliance Deadline Management, Reports, Lifecycle (case flow)

   - Entity Management needs for Superior Courts: Party Relationships, Search Party, Party Maintenance, Reports, Administer Professional Services

   - Manage Case Records needs for Superior Courts: Docketing/Case Notes, Record Management, Exhibit Management, Reports and Searches.

   - Pre / Post Disposition Services needs for Superior Courts: Compliance, Access to Risk Assessment Tools, Reports & Searches

   - Decision to have MTG complete Phase II – Develop a procurement RFP

2. Out of Scope:

- Functionality needs for all other court levels (other than Superior Court).
- The decision to select a specific vendor product solution
- The issuance of procurement RFP
- Manage Finances needs for Superior Courts
- Administration needs for Superior Courts

3. Assumptions:

The following are a list of assumptions. Upon agreement and signature of this document, all parties acknowledge that these assumptions are true and correct:

- This project has the full support of the project sponsor, stakeholders, and all departments
- The purpose of this project will be communicated throughout the agency prior to deployment of any aspect of this project
- Coordination between the business entities and AOC/ISD will be such that all deployment actions, modifications, and process changes will be first negotiated to agreement and approved
- Each stakeholder, project sponsor, and project-related departments within AOC will provide whatever needed support is required for this project.

4. Constraints:

The following constraints pertain to the SCMFS Project:

- JISC is the overarching authority over activities and funding directly related to the scope of this project
- All hardware, software and services must be purchased in accordance with the allocated budget, timeline, contracting rules and laws
- All software and hardware systems considered must be compatible with AOC's current IT environment, standards and platforms

5. Deliverables Produced

The SCMFS Project is comprised of the following deliverables:

Deliverable #1 – Project Work Plan

Purpose: Provides a detailed activity listing for completing the deliverables including an overview of resources required to complete specific tasks. The Work Plan includes:

- Key milestones and activities
- Work duration and level of effort
- Organization and sequencing of the work
- Resource allocation

Deliverable #2 – Project Schedule

Purpose: Provides a high level view of the project deliverable, resources assigned to activities, and milestone timing. The Schedule will be in MS Project format. The Schedule includes:

- Activity or milestone name
- Start and finish dates
- Duration of activity
- Resources assigned to each activity
- Dependencies on other activities

Deliverable #3 – Business Requirements Document

Purpose: Captures the business functionality required for business staff to perform their activities encompassed in the project scope. The Business Requirements Document includes:

- Unique requirements identifier
- Category for grouping purposes
- Description
- Actor
- Priority
- Source of requirement
- Processes that depend upon the requirement

Deliverable #4 – Technical Requirements Document

Purpose: Captures the technical parameters required by the existing AOC Enterprise Architecture as well as the future technology roadmap. The Technical Requirements Document includes:

- Unique requirements identifier
- Category for grouping purposes
- Description
- Interfaces
- Data dependencies
- Source of requirement
- Processes that depend upon the requirement

Deliverable #5 – Requirements Gap Analysis

Purpose: Captures the divergence of the best-few alternatives from the AOC requirements and the effort to bridge the gap. The Requirements Gap Analysis includes:

- Requirements identifier
- Indicator as to whether the requirement is satisfied or missing
- Level of effort to add the functionality or work around solution
- Impact of missing requirement

Deliverable #6 – Migration Strategy

Purpose: Describes a logically sequenced implementation plan for the best-few alternatives. It will include identification of impacts to legacy applications that provide similar or duplicate functionality to that provided by the best-few alternatives and include data considerations. The Migration Strategy includes the following:

- New product-specific implementation activities
- New product customization decisions and activities
- Activities to prepare the current environment
- Overlapping system functionality reduction activities
- Work around activities
- Business process adaptations
- Hardware needs
- Staffing needs
- Sequence and dependencies of activities

Deliverable #7 – Integration Evaluation

Purpose: Describes the level of independence and interdependence of the best-few alternatives operating within the AOC systems environment to operate independently while integrating with AOC systems and functionality and how the alternatives would integrate with functionality provided by AOC legacy systems. This will also include data integration considerations. The Integration Evaluation includes:

- Dependencies on existing systems and data interfaces
- Ready-to-use interfaces to existing system and data interfaces
- New interfaces that will be needed to support existing system and data interfaces
- Modifications that will be needed to support existing system and data interfaces
- Work around activities
- Business and technical process adaptations
- Staffing needs to support integration activities

Deliverable #8 – Feasibility Report

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

- Purpose statement and executive summary
- Project background, business case, and objectives
- Organization of the document
- Assessment approach
- Customers, stakeholders and organizational entities impacted by the project
- Best-few product analysis and alternatives considered
- Business and technical requirements documentation
- Gap Analysis
- Migration Strategy
- Integration Evaluation
- Summation of assessment
- Best-few alternatives modules beyond calendaring and case management, along with participant/party information tracking, case records and relevant disposition services functions, with pricing
- Relationship to the agency's business and IT strategic plans and IT portfolio
- Relationship to and impacts on the agency and state technology infrastructure

- Quality assurance plan
- Estimated timeline and work plan
- Cost/benefit analysis, including any assumptions used in the analysis
- Risk assessment and mitigation strategy
- Summary statement assessing the feasibility of implementing the selected alternative within the business environments of AOC and the Superior Courts.

Deliverable #9 – High Level Cost Estimate

Purpose: Provides a High Level Cost Estimate for procurement funding purposes. The High Level Cost Estimate includes:

- Initial product purchase and licensing costs
- Hardware costs
- Ongoing maintenance costs
- Full time employee costs
- Professional services required

Deliverable #10 – Refined Cost Estimate

Purpose: Provides a refined version of costs for procurement funding purposes. It is based on additional information gleaned during the assessment process. The Refined Cost Estimate includes:

- Initial product purchase and licensing costs
- Hardware costs
- Ongoing maintenance costs
- Full time employee costs
- Professional services required

Deliverable #11 – Procurement RFP

Purpose: Defines the scope of work requested and organization of responses from bidders for the proposed product procurement. The RFP includes:

- Executive summary
- Scope of work
- Vendor qualifications
- Funding
- Procurement timeline
- Acceptance criteria
- Contact and formal submission process
- General contract terms and conditions
- Contents of bidder proposals
- General evaluation criteria
- Bidder notification process

Deliverable #12 – Bidder Assessment Criteria

Purpose: Defines the objective criteria to be used for evaluating RFP bidder responses. The Bidder Assessment Criteria includes:

- RFP number and project name
- Evaluator numeric identifier
- RFP criteria with weighting

- Evaluator raw score
- Calculated score
- Score totals

Deliverable #13 – Bidder Assessment Process

Purpose: Defines the process that will be used for evaluating RFP bidder responses and tabulating evaluator scoring. The Bidder Assessment Process includes:

- RFP number and project name
- Evaluator criteria and identification
- Collection of evaluator conflict of interest statements
- Identification of how and what information is provided to evaluators
- Identification of how and what information is collected from evaluators
- Handling of raw score data entry and combined scoring
- Score evaluation and notification to contract team

6. Acceptance Criteria

Beyond satisfying the deliverables criteria explicitly set forth in the signed Statement of Work PSC 11062, project success is confirmed when all deliverables specified in the Statement of Work are consistent with their respective Deliverables Expectation Document (DED) and signed by all vested parties as completed.

7. Organizations Affected or Impacted

The impact of this project on other organizations needs to be determined to ensure that the right people and functional areas are involved and communication is directed appropriately.

Organization	How Are They Affected, or How are They Participating?
ISD Functional Areas	ISD staff (Operations, Data Management, Infrastructure, PMO, and Architecture and Strategy) will participate in requirements identification, requirements analysis, and product demonstrations.
IT Governance (ITG) Process	There may be new requests that overlap with the scope of this project. These projects may need to be considered when evaluating potential solutions for this project.
AOC and ISD Sponsors	Sponsors must participate in resolving resource issues, risks, and other issues impeding the project's progress.
ESC	The ESC resolves issues around scope, deliverables, and court resources. Members are responsible for supporting ESC decisions and facilitating communications with their respective superior court associations.
AWSCA, WSACC, SCJA	These superior court associations (court administrators, county clerks, and judges respectively) provide representatives to the ESC, support ESC decisions, and provide court subject matter experts (SMEs).

Court SMEs	Court SMEs participate in business process mapping and definition, requirements identification and prioritization, and product demonstrations. Court SMEs include Judges, court administrators, and County Clerks
Project Team	Members contribute time and expertise toward the project activities as well as identify risks and address issues.

F. Project Estimated Effort/Duration

The feasibility project duration is from November 2010 to December 2011.

Milestone	Date Completed	Deliverable(s) Completed
Project Planning and Initiation	December 2010 Amended February 2011	• Project Charter • Project Work Plan • Schedule
Prepare High Level Cost Estimate	January 2011 Amended February 2011	• High Level Cost Estimate
Develop Requirements	February 2011	• Business Requirements Document • Technical Requirements Document
Prepare Gap Analysis	March 2011	• Requirements Gap Analysis
Complete Migration Strategy	March 2011	• Migration Strategy
Complete Integration Evaluation	April 2011	• Integration Evaluation
Prepare Refined Cost Estimate	May 2011	• Refined Cost Estimate
Complete Project Feasibility Report	June 2011	• Feasibility Report
Develop Bidder Evaluation Criteria and Evaluation Process	November 2011	• Bidder Evaluation Criteria and Evaluation Process
Develop Procurement RFP	December 2011	• Procurement RFP

G. Constraints

The following constraints pertain to the SCMFS Project:

- All software and hardware must be compatible with current AOC/ISD platforms
- All hardware, software and services must be purchased in accordance with the allocated budget, timeline, contracting rules and laws
- Multiple projects are occurring simultaneously, which could impact the capacity and timeliness of this project
- Funding has been allocated for this project, however costs may vary and requirements change possibly affecting the project manager's ability to complete this project totally
- JISC and AOC Leadership prioritization to make the deliverables achievable in a timely manner

H. Assumptions

Certain assumptions and premises need to be made to identify and estimate the required tasks and timing for the project. Based on the current knowledge today, the project assumptions are listed below. If an assumption is invalidated at a later date, then the activities and estimates in the project plan should be adjusted accordingly.

The project team's estimates on scope, effort, costs, and schedule for this project are based on the following assumptions.

- The Project Plan includes all activities directly associated with the Statement of Work PSC 11062 as well as supporting activities identified by the project team.
- The ESC manages scope issues and the associated risks identified with scope changes.
- Court SMEs are available to develop, review, and vet business requirements.
- ISD resources (business analysts, business liaison, and technical experts) are available to work on activities identified in the project plan.

I. Project Risks

The following risks for the SMCFS Project have been identified. The project manager will determine and employ the necessary risk mitigation/avoidance strategies as appropriate to minimize the likelihood of these risks:

- Potential disruption to operations during solution deployment
- Insufficient funds to complete the project
- Resources get redirected away from the project

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect of the project or the quality of its deliverables. Known risks identified with this project have been included below.

Risk Area	Level (H/M/L)	Risk Plan
1. Project Dependencies: SCMFS is constrained by the anticipated completion of several projects that implement pieces of the approved Enterprise Architecture (EA). SCMFS will need to identify requirements and strategies in the feasibility study that assume the implementation of these EA pieces. Some of the projects haven't started, others are started but having difficulty, others are in progress: SCDX, UDM, MDM, and JIS Baseline.	M	• Clearly document expected artifacts from dependent projects and gauge reliability of delivering these artifacts so that parameters around SCMFS are solid. • Extend the timeline of SCMFS and concentrate efforts to complete dependent projects sooner.
2. EA Roadmap Compatibility: EA's goal is to implement solutions that can be applicable or usable across all courts. The SCMFS solution may not be applicable across courts, resulting in a silo of application or functionality.	L	• Ensure that best-few solutions adhere to an open architecture as defined by EA. • Focus on a small set of functional requirements to satisfy a broader court base. For example, calendaring across all courts with the ability to customize the business interface by courts. Use COTS for adding each new function across courts. Requires SCMFS scope change. • Document an EA requirement for the SCMFS vendor to consider modular products available for the current scope.

J. Project Constraints

The following constraints exist for this project:

- ISD Technical Resource Availability / Capacity: There are many projects running in parallel that require the same types of resource skills. The schedule for this project may need to adjust based on the relative priorities assigned to projects for which it competes for resources.
- Court Subject Matter Expertise: There are many projects running in parallel that require the same types of specialized expertise. The schedule for this project may need to adjust based on the relative priorities assigned to projects for which it competes for resource expertise.

- Sponsorship Availability: The project requires engagement by AOC and court sponsors to manage risks around scope and requirements. The schedule for this project may need to adjust based on the availability of sponsors to make timely decisions.

K. Project Dependencies

The following project dependencies exist for this project:

Project	Est. Date Due	Deliverable Dependency
JIS Baseline Services: Define criteria for identifying future JIS baseline services provided and supported by AOC centrally.	June 2011	This project defines the business functions and scope of support for many of the functions within scope for SCMFS. The baseline definitions may influence migration planning.
Superior Court Data Exchange	June 2012	SCMFS needs to incorporate or consider the new design and implementation of data exchanges in its migration planning.
Master Data Management: Develop a data governance model and data quality program and select a standard set of technology tools for data management.	June 2013	SCMFS vendor product or related migration plans would need to incorporate the use of the tools identified in this project.
Unified Data Model: A centralized data repository will be built using a structured design approach that identifies subject areas and the associated rules to align with the business needs.	June 2013	SCMFS vendor product or related migration plans would need to incorporate interfaces to the new repository.

L. Project Summary Budget

The following is a summary of the budget for each deliverable as defined in the fixed bid Personal Services Contract PSC 11062 Superior Court Management Feasibility Study (SCMFS) Project funding as approved by the JISC:

Deliverable Number	Deliverable Title	Cost
PHASE I		
1, 2	Work Plan, Schedule	$10,000
3	Business Requirements Document	$25,700
4	Technical Requirements Document	$19,500

5	Requirements Gap Analysis	$29,300
6	Migration Strategy	$30,400
7	Integration Evaluation	$16,500
8	Feasibility Report	$29,900
9	High Level Cost Estimate	$12,050
10	Refined Cost Estimate	$13,400
Phase I Total		**$186,750.00**
PHASE II		
11, 12, 13	Procurement RFP, Bidder Evaluation Criteria, Bidder Evaluation Process *	
Phase II Total		**$100,000.00**
TOTAL		**$286,750.00**

* Payment schedule to be determined for Phase II deliverables

Note: MTG Contract Amendment was made to adjust to authorized scope change. Overall increase was $51,750 (new Phase I Total is now $186,750).

M. Project Authority

1. Funding Authority

Personal Services Contract PSC 11062 Superior Court Management Feasibility Study (SCMFS) Project funding as approved by the JISC.

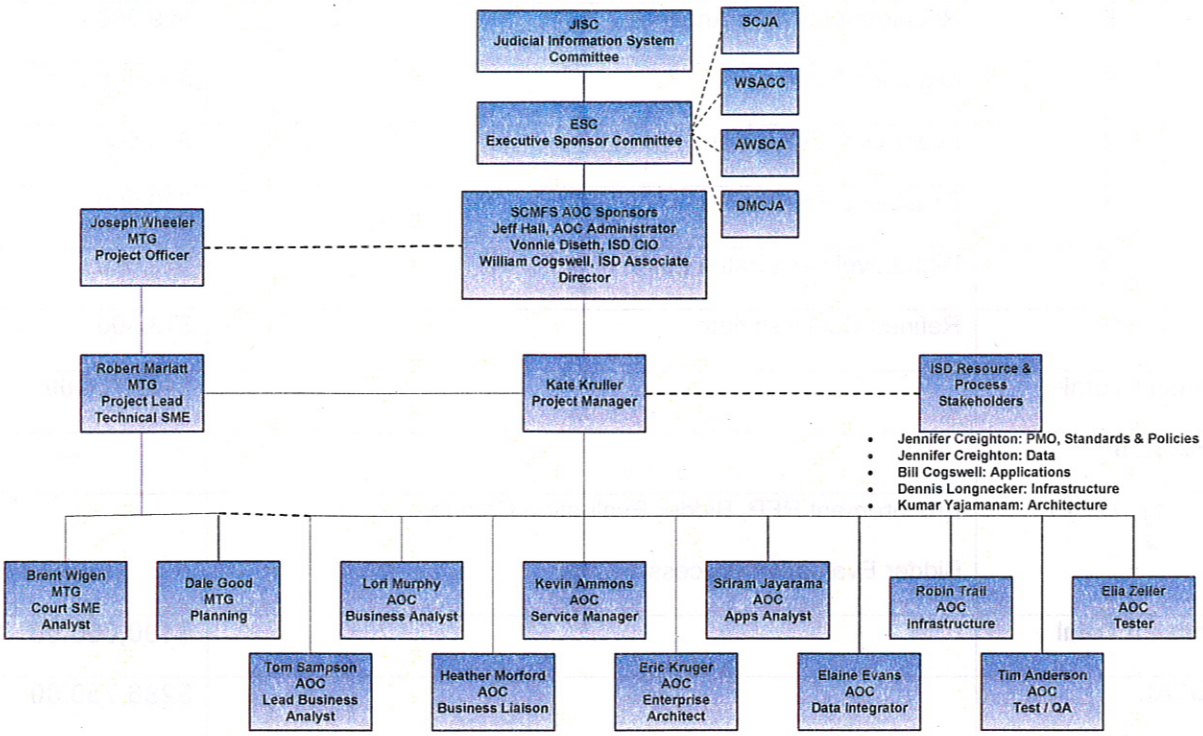
2. Project Oversight Authority

Personal Services Contract PSC 11062 Superior Court Management Feasibility Study (SCMFS) Project signed Statement of Work which includes success criteria; ESC oversight with scheduled meetings for review of risks, schedule, and deliverables.

N. Project Organization / Project Management Structure

1. Organization Chart

The following project organization chart depicts the proposed project roles and relationships:



Superior Court Management Feasibility Study (SCMFS)
Project Organization V4.0 2010-12-06

2. Roles and Responsibilities

The following is a list of AOC and MTG project roles and responsibilities necessary for the successful completion of this project.

Role	Time Commitment	Responsibilities
All (MTG/AOC)	• Varies	• Follows all project standards. • Participates in all checkpoints. • Completes assigned tasks on time. • Raises issues immediately to AOC and MTG Project Management Staff.
Project Executive Sponsors (AOC) Chairpersons of the Superior Court Judges, Clerks, and Court Administrators associations, ISD Director	• Varies • Available to support rapid decision-making, roadblock removal, and prioritization for the project	• Provides overall project guidance and customer escalation path. • Resolves issues requiring management attention. • Resolves major change requests and issues. • Champions the project.
ISD Management (AOC)	• Varies • Attends key checkpoints and status meetings	• Represents engagement to stakeholders, as appropriate. • Promotes and champions engagement to external agencies and third parties of interest. • Provides ongoing support for resolution of impediments or blocking issues.

Role	Time Commitment	Responsibilities
Project Manager (AOC)	• Full Time • Attends key sessions, all checkpoints, and all status meetings	• Provides overall leadership and oversight to project. • Manages AOC personnel and responsibilities for this project • Responsible for MTG management and oversight. • Assists MTG with finalizing project milestone deliverables, activities, tasks, assignments, milestones and estimates. • Reviews and approves project deliverables and project work plans. • Defines and documents changes to scope, risks, and assumptions. • Manages personnel and related issues and coordinates issues with MTG and any interested third-parties. • Serves as the interface between MTG and all AOC departments participating in the project. • Administers the Project Change Control Process with MTG Project Lead. • Participate in project status meetings. • Ensures that work plans and activities are coordinated across programs and that dependencies are identified, communicated to involved parties, and efficiently managed. • Resolves deviations from the estimated plan and schedule. • Helps resolve project issues and escalates issues within AOC organization, as necessary. • Procures/creates/manages contracts; recommends policy directives to senior management. • Communicates with stakeholders. • Report project status to appropriate levels of AOC management. • Prepares weekly status reports.

Role	Time Commitment	Responsibilities
Project Lead (MTG)	• Full Time • Attends key sessions, all checkpoints, and all status meetings	• Prepares project work plans that identify work activities for both MTG and AOC staff. • Coordinates with AOC Project Manager on client staff work activities as necessary. • Develops project milestone deliverables in collaboration with AOC the Project Manager and AOC Project Team. • Finalizes project milestone deliverables, activities, tasks, assignments, milestones and estimates. • Daily coordination of MTG team staffing and resources. • Directs and manages workload of MTG staff. • Documents and manages impediments and blocking issues to closure and resolution. • Timely coordination of deliverables with AOC management. • Makes decisions to keep the MTG work on budget and on time. • Works with AOC to define and enforce project standards and scope management. • Timely coordination of issue management and resolution process with AOC Project Manager and MTG. • Escalates identified issues and risks to the AOC Project Manager.
Business Liaison (AOC)	• Varies • Attend key sessions, all checkpoints, and all status meetings	• Communicates directly with customer groups and works closely with business analysts to clarify and prioritize requirements. • Ensures that adequate customer representation exist for key project requirement sessions and vendor demonstrations. • Captures customer responses to project deliverables and product information. • Works with the Project Manager to identify issues and risks.
Business Analyst (AOC)	• 80% • Attend key sessions, all checkpoints, and all status meetings	• Works closely with the Business Liaison in communications with customer groups to clarify and prioritize requirements. • Clarifying business and functional requirements. • Performing assessments and reviews. • Creating project level documentation as needed. • Facilitating interactions with internal and/or external parties of interest. • Participating in as-needed communication, work sessions, and reviews for input/feedback. Works with the Project Manager to identify issues and risks.

Role	Time Commitment	Responsibilities
Functional Domain Experts (AOC)	• Varies • Attend key sessions, all checkpoints, and all status meetings	• Clarifying business and functional requirements. • Performing assessments and reviews. • Creating project level documentation as needed. • Facilitating interactions with internal and/or external parties of interest. • Representing all ISD business viewpoints. • Participating in as-needed communication, work sessions, and reviews for input/feedback.
Technical Domain Experts (AOC)	• Varies • Attend key sessions, all checkpoints, and all status meetings	• Clarifying technical requirements. • Performing assessments and reviews. • Creating project level documentation as needed. • Facilitating interactions with internal and/or external parties of interest. • Representing all ISD technical viewpoints. • Participating in as-needed communication, work sessions, and reviews for input/feedback.
Domain Experts (MTG)	• Full Time • Attend key sessions with AOC as needed	• Understand AOC business and technical requirements. • Works closely with AOC experts to create the MTG deliverables as stated in Section D Deliverables.

3. Project Management Structure

The SCMFS Project will follow adopted ISD PMO policies, procedures, methodologies, standards, guidelines, and reporting protocols. Similarly, this project will utilize applicable PMO templates, models, and frameworks in achieving its objectives.

Project Meetings

The SCMFS Project Manager and Project Lead will meet weekly to discuss project status and issues. The project team will meet weekly to ensure coordination of overall project activity.

Project Status Reporting

The Project Manager and Project Lead will use the ISD PMO status template for weekly status reports.

Issue Management

The Project Manager and Project Lead will maintain a central Issues Log. The Project Lead and Project Team members will be responsible for identifying issues. The Project Manager and Project Lead will assign responsibility for the resolution of project issues and report progress in the issue log. Most project issues are expected to be resolved within the Project Team. Issues that require resolution external to the Project will be assigned to the appropriate external resource and monitored by the Project Manager and Project Lead. Decisions within the scope of the Project will be made by the Project Team.

Change Control

The Project Manager and Project Lead will maintain a central Change Control Log. Change requests can be raised by any member of the Project Team. The standardized ISD change control process will be followed relative to impact analysis, approval, and plan modifications. The Project Manager and Project Lead will assign responsibility for change request analysis. Changes that require external approval will be presented to the Project Sponsor and monitored by the Project Manager and Project Lead. Decisions within the scope of the Project will be made by the Project Manager and Project Lead.

Scope Management

A change request can also be initiated whenever there is a need to change the scope of the Project, as defined in the project charter. Scope change is acceptable, provided that:

- The need for the change is critical.
- The Project Sponsor agrees the new requirement or change is needed.
- The impact of the change has been analyzed and understood.
- The resulting changes to the Project (cost, timing, quality of deliverables, and human resources) are approved and properly implemented.

The scope management process will follow the stated change request process.

Project Management Tools

The main project management tools used will be the MS Office Suite of software applications, including Word, Excel, MS Project, and Visio.

All project documents will be stored on the public drive in the project folder. The Project Manager and Project Lead are responsible for publishing completed document versions to AOC SharePoint site.

Risk Management

The Project Manager and Project Lead will develop a Risk Log plan at the beginning of the Project. The Project Manager and Project Lead will own the Risk Log and will maintain this plan throughout the life of the Project. The process includes the following:

- Risk identification is the responsibility of all Project Team members.
- The Project Manager and Project Lead will manage the Risk Log and the overall risk review process in accordance with standard ISD project risk management processes.

Monitoring and mitigation activities for specific risks may be assigned to any Project Team member although overall monitoring remains with the ISD leadership team.

Communication Strategy

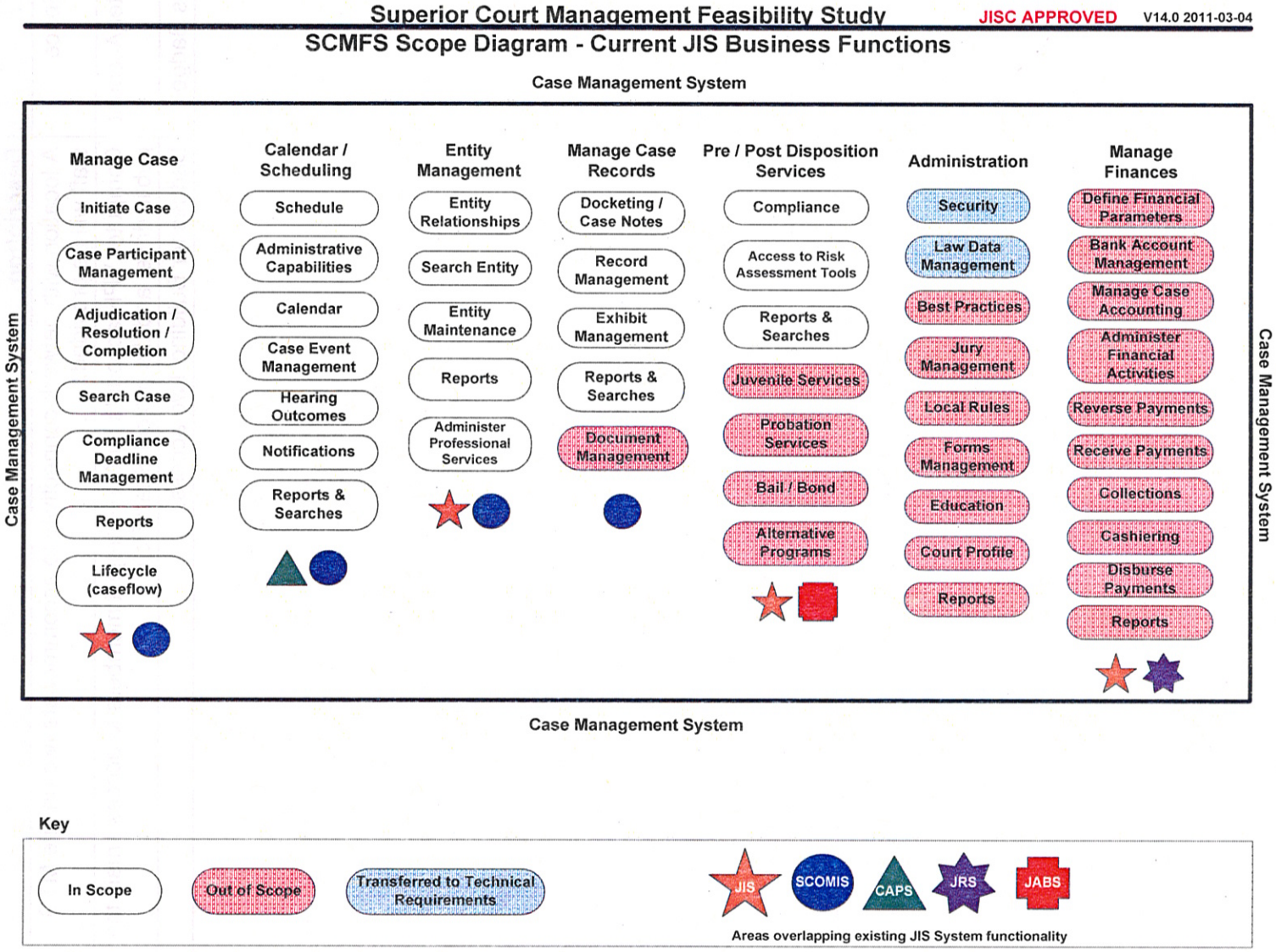
Project Management Plan will contain a detailed Communications Plan. Initial project communication will be conducted through the project initiation and planning phase deliverables. During the execution and monitoring and control phases communication will be handled via weekly meetings, meeting minutes, and status reports. In the closeout phase communication will occur in the form of a project closeout report and lessons learned report.

O. Project Facilities and Environment

The following is a list of provisioning for MTG project team members that will be provided by AOC:

Item	Description
Office Space	A location with network connectivity to accommodate two on site MTG staff will be provided.
Computer Account	Computer VPN accounts for MTG project members to access email, the public drive, and the project SharePoint.
Facilities Badge	Badges for Building Two access.

P. Appendix A SCMFS Scope Diagram



Q. Appendix B SCMFS Scope Definitions

Introduction

This document provides short definitions for the business functions listed in the companion Superior Court Management Feasibility Study (SCMFS) Scope Diagram document. Definitions highlighted in gray are out of scope for the SCMFS project. All other definitions are in scope for the project.

Note: Text Background Color Key:

In-Scope items have white background =

Out-of-Scope items have gray background =

Tech Requirement items have brown background =

Manage Case

Capabilities listed are focused on the processes associated with Superior Court case management. These capabilities are broke down into seven sub capabilities.

Initiate Case

The Initiate Case capability focuses on the activities of creating a case in the Superior Court. This capability is broad in scope and covers Superior Court: civil, juvenile, and criminal cases.

Adjudication / Resolution / Completion

The Adjudication / Disposition capability supports the decision making process in the courts. It is made up of the processes of entering the resolution and completion outcomes of a case.

Compliance Deadline Management

Capability to track and enforce due dates and obligates for court processes. An example of this is the establishment of a due date for the exchange of witness lists and ensuring if it is done.

Lifecycle

The sub capabilities that make up the Lifecycle capability support the **workflow process of the court**. Tracking and monitoring milestones, setting statuses, sealing cases: link / consolidate, milestones, status, seal case.

"Caseflow management is the court supervision of the case progress of all cases filed in that court. It includes management of the time and events necessary to move a case from the point of initiation (filing, date of contest, or arrest) through Disposition, regardless of the type of disposition. Caseflow management is an administrative process; therefore, it does not directly impact the adjudication of substantive legal or procedural issues."

"Caseflow management includes early court intervention, establishing meaningful events, establishing reasonable timeframes for events, establishing reasonable timeframes for disposition, and creating a judicial system that is predictable to all users of that system. In a predictable system, events occur on the first date

scheduled by the court. This results in counsel being prepared, less need for adjournments, and enhanced ability to effectively allocate staff and judicial resources."

Caseflow Management Guide, Page 1, State Court Administrative Office of the Courts, Lansing, Michigan, Undated.

Case Participant Management

The Case Participant Management capability involves assigning specific people to cases. This assigning of people actually links participants defined in Party Management to actual cases. Activities include the addition, maintenance, removal, and sealing of participants on a case seal (participant) for a case, and expunging a party/person from a case.

Search Case

Describes the ability to search for case information, and presents the results in a useful and meaningful way. Includes at a minimum those capabilities currently supported by the SCOMIS index.

Reports

General Reporting and Searching capabilities used to support Case Management activities.

Calendar / Scheduling

All aspects of Calendaring and Scheduling for courts are captured in this capability. This capability is broken down into six sub capabilities.

Administrative Capabilities

Administrative capabilities related to Calendaring / Scheduling are focused on scheduling resources. This includes Judicial Officers, equipment, Court Rooms, Court Resources, Interpreters, etc. It also involves the timing of scheduling events such as divorce proceedings which are held the third Wednesday of the month. These events are typically completed as a Court Administration function: set up, manage caseload, manage resources – establish available times (Courtrooms, Judicial Officers, etc.), delete resources, calendar profile / date – session profile.

Case Event Management

Case Event Management focus on those activities that support management of case events. This includes confirmation of notice/warrant service, all case/court papers have been filed timely, and that all actions have been completed before a participant steps into the court room. These activities help facilitate all the prehearing/pretrial events. At a minimum, these activities mirror what is done in the SCOMIS "Case Schedule Tracking"/"Caseflow Management Track" functionality.

Hearing Outcomes

These capabilities revolve around the documentation of events (record the outcomes) of a hearings: actions taken, and follow up on actions to perform. Recorded outcomes of events include clerk minutes, capturing the outcome of the event (Continuance, Stricken, Court Order, etc.) in a searchable/selectable format, not just a note in a docket entry.

Schedule

Scheduling capabilities deal with the details of scheduling court resources, and participants for a case/hearing: assigning resources and producing reports.

Notifications

The capabilities associated with Notifications revolve around the functions of scheduling and monitoring the disbursement of notifications from court to participants: confirmation, monitor, verification, and recording who they are sent to. The capability of parties to confirm or strike motions electronically when responding to notifications.

Reports and Searches

This capability support the reporting needs of the court related to public calendaring information, scheduling notice to send out, notifications sent to participants for dates due in court or information required, and other notification functions: public, confidential, notices, see CAPS and other systems, calendar load, court dates sent to participants. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

Calendar

This capability includes the creation, formatting, maintenance, and distribution of court calendars for each type of hearing and conference. Calendars, as considered within this context, may also include Alternative Dispute Resolution (ADR) events such as mediation, as well as other events that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, or evidence is considered by a Judicial Officer, magistrate, referee, commissioner, or other judicial officer in court events such as trials and hearings, lower court reviews, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events.

The scheduling of hearings and conferences (see Scheduling Function) provides the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the Docketing and Related Recordkeeping Function, Judicial Officers' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by re-generating all or part of the calendar to reflect scheduling changes, entering or updating calendar notes, making changes to the format or organization of calendars. They then generate the updated calendars for electronic or printed distribution.

The ability to create and maintain blocked calendar entries is included here. There includes the functionality to set limits on the number events to schedule in a block and to override that limit when needed. The functionality to move a single event or the entire block of events in a single action is included here also.

Calendaring is the activity of scheduling cases for hearings before the court and consists of the coordination of case actors (judges, attorneys, litigants, interpreters, etc.) and physical resources (court rooms, AV equipment, etc.) based on a set of conditions that include case type, hearing type, required actors, and required physical resources. For example, a request for a motion hearing in a domestic case before Judge A (conditions) would result in the hearing being set on the next future date that Judge A is scheduled to hear domestic case motions).

A calendaring system supports calendaring through automation of case hearing scheduling based on a set of rules (conditions). A calendaring system produces reports that details all cases scheduled for a particular date, time, and place and reports that detail all of the scheduled hearings for a particular case. A calendaring system generates notices to individuals regarding the scheduling of hearings in a particular case.

Calendaring is a sub-activity of case management. That is, you may have a calendaring system without having a case management system. A case management system presumes the existence of a calendaring system as either part of the case management system or through the exchange of data with a separate calendaring system.

Entity Management

Capability captures all business capabilities related to the tasks associated with Party Management. This includes searching, identification, adding, deleting, association with other Parties, and related processes in the court environment. A Party is any entity associated with a court case or court activity. This includes, but is not limited to, Judicial Officers, businesses, victims, litigants, attorneys, defendant's, and other court staff, etc. . There four sub capabilities associated with Party Management.

Party Maintenance

The Party Maintenance capability covers the activities related to keeping Party (Person) data current and accurate. This includes addition of new information to a Party and updating existing information as it changes: add party, end dating party, seal party, update party, and update party status. Official and Organization Person records are part of the JIS Person Database. An official/organization person record must exist in the system before that person can be granted security as a JIS user or be associated with a case as a participant. Judicial Officers are added as officials in a court when they fill a seat on the bench at a particular court, and removed when they leave a court and the time for appeal of cases has passed.

Search Party

The Search Party capability allows for the searching for Parties based on a variety of variables. The Party information may reside in any number of physical databases: phonetic, alpha, weighted. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

Party Relationships

The Party Relationships capabilities covers the activities needed to tie party members together indicating some form of relationship and maintaining that relationship. This can be Parent/Child, Guardian/Participant, Attorney/Client, or other relationship: add, update, AKA maintenance.

Administer Professional Services

The Administer Professional Services capability deals with inventorying the social services that are available to case participants. This includes activities such as ensuring the social service agency complies with the rules and regulations, and the inventory of available organizations is kept current, and in some cases that the individual providers are qualified. This was moved under Entity Management since a service agency is just another Entity that is inventoried/managed by the courts.

Reports

Reports for Party Management fall into two categories. They are either ad hoc reports or Structured / Standard reports. Ad hoc reporting includes reports that provide one time answers on a non-scheduled / non-recurring basis. Structured / Standard reports are produced on a regular basis and are produced more than once. Both of these reports only provide information related to Party information.

Manage Case Record

Capability is focused on the management of court records, including document indexing (docketing), managing and processing exhibits, and management of court proceeding recordings. There are four sub capabilities in the Manage Record capability.

Exhibit Management

Exhibit Management capabilities focus on the receiving, storing, and destruction of court exhibits. These are physical assets that are to be tracked.

Court Proceeding Records Management

Court proceeding record management capabilities focus on the maintenance, indexing, access, and deletions/destruction of the recordings of court proceedings.

Reports and Searches

The Report capabilities support record management functions/activities through ad hoc reporting and standard reports to support mandatory reporting requirements. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

Docketing / Case Notes

Docketing is the creation and maintenance of the legal record of the index of court actions taken and documents filed in a particular case. A docketing system is the creation and maintenance of that legal index record in electronic form.

Note: As a general rule and practical matter, calendaring and/or case management systems are highly dependent upon the data and information in a docketing system. For example, a summary judgment motion is filed and the official record of that document is created in the docket. The motion also serves as the request for court time to be ***calendared****. The motion also serves as the date marker relative to a* ***case management*** *rule regarding the sequencing and timing of the request and scheduling of the hearing for purposes of compliance monitoring and enforcement.*

Document Management –

Document Management capabilities support all functions related to the processing of physical documents (paper or electronic) in the court environment. There are eight sub capabilities that support this capability: receive, imaging, eFiling, disburse, search, store, archive, delete/destroy.

Pre/Post Disposition Services

Capabilities related to activities that take place before a case is heard and after a case is heard, including decision making activities. This is broken down into five basic capability areas. They are; Compliance, Juvenile Detention, Administrative Services, Judicial Decision Making, and Reports

Judicial Information Resource

The sub capabilities under the Judicial Information Resource capability focus on tools/information needed to make an informed decision on a case. This includes decision record management, record generation, and record access for decision making. An example of the key data to be include is access to the electronic affidavit with a log of who did what and reasons for actions in a searchable and easily displayable format (not just hidden in a docketing entry).

Reports and Searches

The Reporting capability falls into two categories, there are ad hoc reporting needs and structured reports to support tracking and monitoring needs of the court: tracking and monitoring, ad hoc reporting. Includes at a minimum those capabilities currently supported by the SCOMIS Index and the Judicial Access Browser System (JABS). This includes access to all relevant information/records, access to participant historical information, the ability to issue and manage decision records, access to participant history, and Washington State Patrol and Department of Licensing data,

Compliance

Capabilities that support the establishment, tracking, and monitoring of the terms of predisposition conditions of release, probation imposed (juvenile), treatment options, and sentencing.

Access to Risk Assessment Tools

This capability includes the access to/integration with existing tools used to perform an assessment of an individual to support monitoring terms imposed by the court. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm.

Bail / Bond

This capability includes the activities associated with bail management (e.g. collecting bail money, bail bonds, and producing receipts and reports).

Probation Services

This capability supports monitoring a person convicted of a crime to remain at liberty, subject to certain conditions and under the supervision of a probation officer.

Alternative Programs

This capability includes activities for tracking juveniles enrolled in alternatives program (i.e. electronic home monitoring, work crew, group care) in lieu of detention.

Juvenile Services

Juvenile Detention

The Juvenile Detention capabilities support activities and actions around the juvenile detention services. This includes the capabilities of Admission, Release, Tracking, and Facility Management: admissions, release, tracking, facility management.

Admit Juvenile to Detention

This capability includes the activities needed to support admitting a youth into a detention facility.

Monitor Juvenile in Detention

This capability includes the activities needed to support monitoring a youth in a detention facility.

Release Juvenile from Detention

This capability includes the activities needed to support releasing a youth from a detention facility.

Administration:

Capabilities conducted for managing and supporting a Court for carrying out its business mission. There are eight sub capabilities that fall under Administration.

Law Data Management **Court participants flagged as non-functional**

The Law Data Management capability covers activities associated with adding, updating, and deleting the laws that the court enforces (local and Statewide). Provide review and interpretation of newly enacted statutes on penalty assessments for proper categorization in the law table. Coordination of law data between JIS and the Washington State Patrol, WAPA charging manual, and Fish and Wild Life bail schedules. Determine class of offense for each law, Law Data, and begin and end effective dates.

All non civil cases require a reference to a law in a charging document, or referral notice.

Security **Court participants flagged as non-functional**

The Security capability focus's on the computer application and data security functions for the court. This includes creation of Logon Ids, assigning access rights to applications, maintenance of security privileges, removal of security privileges as needed, and monitoring access activities with the use of security reports. Data and applications are secured from unauthorized access and access is granted as needed to authorized individuals.

Security of cases, calendars, case notes, and other information is a major risk to the integrity of the court functions. The need to securely and effectively restrict access to sealed cases falls under the security umbrella. The ability for a system user to have access to processes they need to perform their job functions, and only those processes, is a critical aspect of security in any business environment, but even more so in the court environment due to the amount of confidential data maintained in the court systems.

Jury Management

Jury Management capability involves all activities related to Jury Pool setup, selection, notification, jury service postponement, tracking, and payment: create, maintain, selection, notification.

Local Rules

The capabilities associated with Local Rules deal with the creation and maintenance of those rules that each individual jurisdiction/court makes in how to do business in their business area: create, maintain.

Best Practices

The capabilities associated with Best Practices deal with the creation, maintenance, and education of court staff on the best practices developed in the administration of court processes and functions: create, maintain, education.

Forms Management

This capability revolves around the creation and maintenance of forms used by the courts from a global perspective. Those forms that are unique to a given court are not included in the scope of work covered by this capability.

Education

This capability involves the function of providing educational services to the different courts by AOC related to new Judicial Officer training, new global court processes and procedures, and system usage.

Court Profile

The court profile contains information that is specific to a particular court. This information may include court location, hours of operation, form letters, and any other court specific information that may be required when performing court business processes.

Reports

The Administrative Reports activity focus on the general reporting needs of the organization.

Manage Finances:

Capabilities related to financial processes at a Court. There are six sub capabilities that fall under the Manage Finances area.

Receive Payments

The Receive Payments capability focuses on the activities at a court related to the receipt of payments for any activity/reason. The Receive Payments capability consists of three sub capabilities. These sub capabilities are based on the type of payment that can be received. They are Trust Payments, Court Payments, and Bail Payments.

Disburse Payments

The Disburse Payments capabilities focuses on the activities at a court related to the distribution of assets (primarily money) to owed parties. The Disburse Payments capabilities consist of three sub capabilities. These sub capabilities are Recipients of Trust Payments, Remittances to Government Entities, and Returns to Payee / Applied to Case.

Administer Financial Activities

The Administer Financial Activities focus on those activities that deal with financial activities other than receiving and distributing funds for a Court. This includes End of Period Activities, Bank Reconciliations, Audits, and processing Unclaimed Property.

Manage Case Accounting

The Manage Case Accounting Actions focus on the management functions for financial operations. This includes Maintaining the Chart of Accounts, Maintaining bank relationships, and Reporting activities: setup accounts receivables / payables, setup payment agreements.

Collections

The Collections capability focuses on the activities related to account receivable collections. This includes sending notifications to owing party, assigning A/R to a collection agency, tracking payment history, etc.: setup, collections management.

Reports

This capability deals with all financial data reports not specifically identified in the other sub capability areas.

Define Financial Parameters

This capability supports the Court processes and functions that support the accounting and financial operations of a court.

Bank Account Management

This capability addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts) and performing ancillary tasks such as accruing interest, reconciling accounts, and producing journals and reports. These tasks address accruing interest on bank accounts but not within the court accounting system on the case, party, or other funds in bank accounts. Similarly, these tasks do not address interest on delinquent payments.

Reverse Payments

This capability should include but not be limited to identifying and processing dishonored payments (e.g. NSF checks, credit card payments, counterfeit currency, or payments done in error).

Cashiering

This capability includes activities around funds collected from parties and their representatives who submit payments required by the court. Receipting (cashiering) functions can be performed at the cashiering station of the front counter in the clerk's office if payments are made in person rather than electronically or by mail.

Washington State Administrative Office of the Courts

Superior Court Management Feasibility Study

SCMFS Requirements Gap Analysis
Version 1.2

Deliverable 5

PSC 11062 Superior Court Management Feasibility Study Project

DRAFT

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Document History

Author	Version	Date	Comments
Brent Wigen	1.0	3/24/2011	First draft.
Brent Wigen	1.1	3/25/2011	Factored in comments from officer review.
Brent Wigen	1.2	4/6/2011	Updated with comments from Jeff Hall.

I. Introduction

The Superior Court Management Feasibility Study (SCMFS) project is intended to provide the research and analysis needed for the Washington State Judicial Information Systems Committee (JISC) to make informed decisions on which software application can best meet the business needs of the Superior Courts. The software is used for managing case flow, calendaring, and performing other needed functions in support of judicial decision-making and scheduling, as defined by the SCMFS Executive Sponsor Committee (ESC). The SCMFS effort represents Stage 1 of a two-stage effort. If the study finds a feasible software solution from the range of alternatives that will be evaluated, Stage 2 will involve procurement of the software.

The Requirements Gap Analysis is the fifth deliverable in the SCMFS project Statement of Work (SOW). This document will support the SCMFS by assessing three potential solution alternatives against the requirements established by previous project activities and assess each solution's ability to meet the needs of the Superior Courts.

A. Purpose

The Requirements Gap Analysis is intended to understand and evaluate the Business and Technical Requirements and determine which software solution can best provide the Superior Court with calendaring, case flow management, and select case management functions. The findings of the Requirements Gap Analysis will help to inform the decision to adopt one of three alternatives. The first alternative is to use an updated version of the Legal Information Network Exchange (LINX) system currently used by Pierce County. The second alternative is to purchase a commercial off-the-shelf (COTS) solution for calendaring and case flow management. The third alternative is to purchase a COTS solution that includes calendaring and case flow management as well as case management capabilities.

This document will provide the first step in assessing the feasibility of the potential solution alternatives to deliver the requested functionality, and will serve to inform the recommendations in the SCMFS. The assessment information and recommendation(s) included in this document will serve only as intermediate steps in the development of the final feasibility study. The recommendation(s) made in this document are based only on assessment of a limited scope of criteria, which are described in the following subsection.

B. Background

The JISC has completed a comprehensive planning effort to determine how to support court information technology (IT) needs. The feasibility study and this deliverable are based on the decisions, principles, and assumptions set forth in those plans. These plans are presented in:

- ***Business Plan (State of Washington Administrative Office of the Courts, 2009, p. 10)*** – The Business Plan describes the desired future state of the Information Services Division (ISD) and the funding required to achieve it.
- ***IT Strategy (State of Washington Administrative Office of the Courts, 2009)*** – The IT Strategy describes how ISD will implement the future state defined in the ISD Business Plan.
- ***IT Operational Plan*** – The IT Operational Plan breaks down each of the initiatives identified in the IT Strategy into manageable activities.

These plans provide a framework within which software application alternatives are considered.

C. Scope

The feasibility study will address a broad array of functional, technical, organizational, logistical, and financial questions related to implementing a software application for the Superior Courts statewide. The Requirements Gap Analysis will assess the alternatives offered by a variety of providers against a specific subset of assessment criteria: application functionality relative to the requirements of the Superior Courts; conformance with technology architectures and plans; and provider capacity to support implementation and maintenance of the application.

The feasibility study assesses the scope of applications in terms of their capabilities as systems for calendaring, case flow management, and providing Superior Court Management Information System (SCOMIS) functionality for the Superior Courts. This functional scope is reflected in Stage 1 Business Requirements, described in Section III of this document and used in this Requirements Gap Analysis.

This is an assessment of the alternatives and does not consider how these solutions may be financed, rolled out, or operated. The assessment does not consider the details of how each alternative may be implemented and maintained, as these details have yet to be determined in some cases and vary significantly among commercial providers. The issues related to those activities will be addressed in later analyses and deliverables covering migration strategies, data integration, and overall feasibility.

1. Provider Alternatives Considered

There are a number of potential alternatives for delivering the needed solution to the Superior Courts. An initial scan of potential SCMFS solution alternatives showed the following alternatives:

- ***Pierce County Legal Information Network Exchange (LINX) –*** An integrated justice solution that supports many of Pierce County's justice organizations, including law enforcement, clerk, Superior Court, and jail. The LINX-based alternative under consideration would involve the court and clerk components only and would require a migration of the LINX architecture to modernize and de-couple LINX components.
- ***Commercial Calendaring, Scheduling, Case Flow Management Applications –*** Vendor-supplied, COTS applications developed specifically to provide calendaring, scheduling, and court case flow management functionality. These tools primarily support judicial administration functions and a very limited set of functions that are currently performed by the clerk in the Superior Courts.
- ***Commercial Case Management Systems (CMSs) –*** Vendor-supplied, COTS applications developed to provide a full range of court case management functionality, including calendaring, scheduling, and court case flow management functionality. These tools support judicial administration as well as clerk recordkeeping functions.
- ***Application Service Providers (ASPs) –*** A commercial alternative where software applications and data are hosted by a solution provider or other third party. This method for the Washington State Administrative Office of the Courts (AOC) to provide applications to the courts differs from the first three alternatives on the list. This is an implementation option provided by commercial providers and will be considered an option in migration planning.

With regard to the commercial CMS alternative, an earlier assessment[1] performed for the AOC by Sierra Systems Group Inc., made a distinction between two types of commercial court CMS applications: the "traditional CMS" application and the "emerging CMS" application. This distinction was based on a perception of the degree to which application processes and their sequence are managed through:

- Configuration that can be controlled by court and clerk management and supervisory staff.
- Application logic that is created through programming by an IT professional.

The emerging CMS model was assumed to use more modern or evolving work flow management capabilities, while the traditional CMS model was assumed to manage most of its business logic in the application's source code. However, the commercial CMS market offers a continuum of options for managing application processes and sequencing without programming application logic. These range from:

- User authorization and menu management.
- Queue-based work flow management.
- Business process management supported by work flow engines.
- Business process management supported by rules engines.

Because their management options vary along this continuum, classifying solutions into one of two groups would be somewhat arbitrary and misleading. Commercial CMSs will be considered as a single alternative for this analysis.

2. Alternatives Not Considered

Based on the assumptions driven by the IT strategic Plan and the ISD Business Plan, two alternatives are not considered in this Requirements Gap Analysis. They are:

- ***Acquiring an application through custom development***. Custom development, performed either by the AOC or by a vendor at the direction of the AOC, would be inconsistent with the IT Strategic Plan and ISD Business Plan adopted by the JISC.
- ***Framework-based application development.*** Given that acquisition of a CMS based on a development framework would require a material amount of AOC-directed custom development, this alternative was considered inconsistent with plans and directives.

3. Assessment Criteria

As noted above, the effort to determine which application to implement to support Superior Court case flow management, calendaring, and scheduling has been divided into Stage 1, Feasibility Study, and Stage 2, Procurement. The requirements and criteria for evaluation and decision-making have been designed to be consistent between the stages. While not as detailed, Stage 1 requirements map directly to the requirements that will be used in Stage 2 for procurement. The assessment performed in the Requirements Gap Analysis will employ these Stage 1 requirements and focus on three key areas:

- ***Stage 1 Business Requirements –*** Set of high-level Superior Court business functions that represent the desired case flow management, calendaring, and case management functionality of the future solution.

[1] Superior Courts Readiness Assessment, Deliverable #5 – Assessment Findings.

- ***Stage 1 Technical Requirements –*** The technologies and architectural constraints within which the alternative must operate.

- ***Business Environment Considerations –*** The focus and capabilities of the solution provider's organization. The responses provided with regard to these considerations will help to identify the support the courts and the AOC should expect with the given alternative.

The assessment will provide the JISC and the AOC with insights on which alternative best fits its needs in these areas, what gaps exist for each alternative, and what efforts are required to meet the needs of the Superior Courts.

D. Approach

The approach taken in this analysis was to contact Pierce County and those commercial providers whose solutions were likely to meet the requirements of SCMFS and the needs of the Superior Courts. Pierce County and a number of leading commercial solution providers agreed to participate in the study and provide reference data about their offerings as viable alternatives. In addition, information from prior procurements and industry surveys was employed to assess capabilities and examine alternatives.

1. Data-Gathering Approach

The Requirements Gap Analysis used a survey approach to gather information from solution providers on the capabilities and characteristics of their systems and organizations. Court product vendors were contacted from a list of solution providers that was generated by MTG and AOC personnel. The list of product vendors interviewed is provided as APPENDIX A.

Surveys were conducted by MTG personnel over the course of approximately 2 months. Responses were received in written form and over the telephone. The survey distributed to participants was organized into three sections:

- ***Functional Questions –*** Based on the Stage 1 Business Requirements, these were intended to gather information on the business capabilities of the company's solution.
- ***Technical Questions –*** Based on the Stage 1 Technical Requirements, these were intended to gather information on the technological aspects of the company's solution.
- ***Organizational Questions –*** Intended to gather information about the company's product and customers.

The requirements against which solution providers were surveyed are included in APPENDICES B, C, and D, which provide analyses of each alternative. The potential respondents that were originally contacted represented a broad range of solution providers in the justice market. As a result, a number of providers chose not to respond due their solution's inability to match the needs of the Superior Courts. Those vendors that did respond represent the vast majority of state-level and large jurisdiction case management contracts awarded in the last 10 years. Based on this, the information gathered from these vendors represents an accurate picture of the market of systems that may supply a solution to the Superior Courts.

2. Gap Identification and Analysis Approach

In order to compare individual alternatives against the baseline, each of them will be rated by its affinity to the listed requirements.

- ***Affinity Analysis of Each Alternative Against Requirements –*** The RFI responses for each solution will be measured against the SCMFS requirements based on how well it meets the stated requirement.
- ***Gap Identification –*** The results of the affinity analysis will serve to identify areas where each alternative is weak or strong in relation to the SCMFS requirements. These gaps will be documented and prioritized based on the severity of the gap and the priority of the requirement.
- ***Level of Effort Estimate for Identified Gaps –*** The level of effort required to address each gap will be estimated at a high level for the purposes of assessing the gap's impact.

The results of the analysis will serve to inform the recommendation that is provided in Section V.

E. Assumptions

There are a number of assumptions related to the evaluation of the alternatives. They involve general management and technical issues. The research and analysis associated with this document are based on these assumptions. While the requirements discussed above describe what the alternatives must do for the courts, these assumptions complete the vision of how the courts expect to employ the alternatives. They factor into the assessment of impacts and implications.

1. Management Assumptions

The plans adopted by the JISC for IT management generate some key assumptions for the analysis. These establish key principles, critical success factors, and objectives:

- **The alternative should help reduce the complexity of the IT environment.**[2] The alternatives considered should conform to the AOC's planned enterprise architecture.
- **The alternative should not require internal application development.**[3] The alternative should not require applications development performed or managed (i.e., contracted custom development) by the AOC.
- **The alternative should minimize risk.**[4] The alternative should not introduce material risk factors into the effort to acquire, implement, and maintain this application for the courts.
- **The alternative must deliver results to the courts quickly.**[5] The IT Strategy expresses the necessity of demonstrating progress and success to customers as soon as possible. It is anticipated that a reasonable acquisition, configuration, and pilot start date for an application of this scope is January 2014, given progress to date.
- **The primary focus of the alternative should be the courts.**[6] The alternative should support the AOC's primary customers as described in the Business Plan.

These key assumptions reflect expectations for how the alternative will be implemented and employed by the courts. They will shape the scope of alternatives that receive detailed analysis.

[2] IT Strategy, page 10.
[3] IT Strategy, page 11.
[4] IT Strategy, page 11.
[5] IT Strategy, page 11.
[6] IT Business Plan, page 10.

2. Technical Assumptions

There are several assumptions about how the alternatives will fit into the technical architecture of the AOC and local courts. These provide background and clarification to the Technical Requirements listed above.

- **The application must integrate with existing Justice Information System (JIS) applications and database capabilities.** New applications that the JISC selects to support Washington Superior Court operations will need to integrate with existing JIS applications and database capabilities. AOC plans to implement an enterprise architecture with an information networking hub at its center.
    - The information networking hub will consist of a new Statewide Data Repository (SDR) and a variety of information services.
    - The SDR will support judicial applications throughout the state, as well as information exchanges with other external partners.
    - Those Superior Courts that elect to "opt out" of JIS case management solutions will exchange data with state systems through the SDR.
- **The application must support existing interfaces with the state and local applications in the courts and those of their justice partners.** The alternative selected will need to be able to support the existing level of automated information sharing at a minimum.
- **The application will use publish and subscribe to enable real-time information sharing between applications.** Based on the AOC enterprise architecture, integration points should follow the publish and subscribe messaging data interchange service, as defined in the enterprise architecture.

These key assumptions reflect technical expectations for how the alternative will be implemented for the courts.

II. Alternatives Considered

The Requirements Gap Analysis is intended to compare the stated needs of the Superior Courts for case flow management, calendaring, and select case management functions against the three identified alternatives. This section provides a description of each alternative.

A. Alternative 1 – Pierce County LINX

The LINX family of software system applications was developed and deployed in Pierce County and has been in use by the county's justice community for 16 years. It is supported and maintained by Pierce County IT. The Pierce County Council has agreed to release and manage the application software that the county develops as open-source software.

1. Scope and Focus

LINX provides records management and operational support for several law enforcement and justice organizations in Pierce County. LINX uses an integrated architecture made up of a series of core applications, shared functions, and shared data, which are shown in the table below.

LINX Core Applications	LINX Shared Functions	LINX Shared Data
• Clerk • Courts • Prosecutor • Jail Management • Law Enforcement • Defense • Jury • Probation	• Document Management • Work Flows • Finance	• Cases • Calendars • Persons • Documents

The general structure of LINX and the relationship between these components is shown in EXHIBIT I on the following page. As shown in the diagram, the application is designed to support the operational needs of several Pierce county organizations and facilitate information sharing between these organizations. Changes to the system are triaged through the County IT organization and made as resources allow.

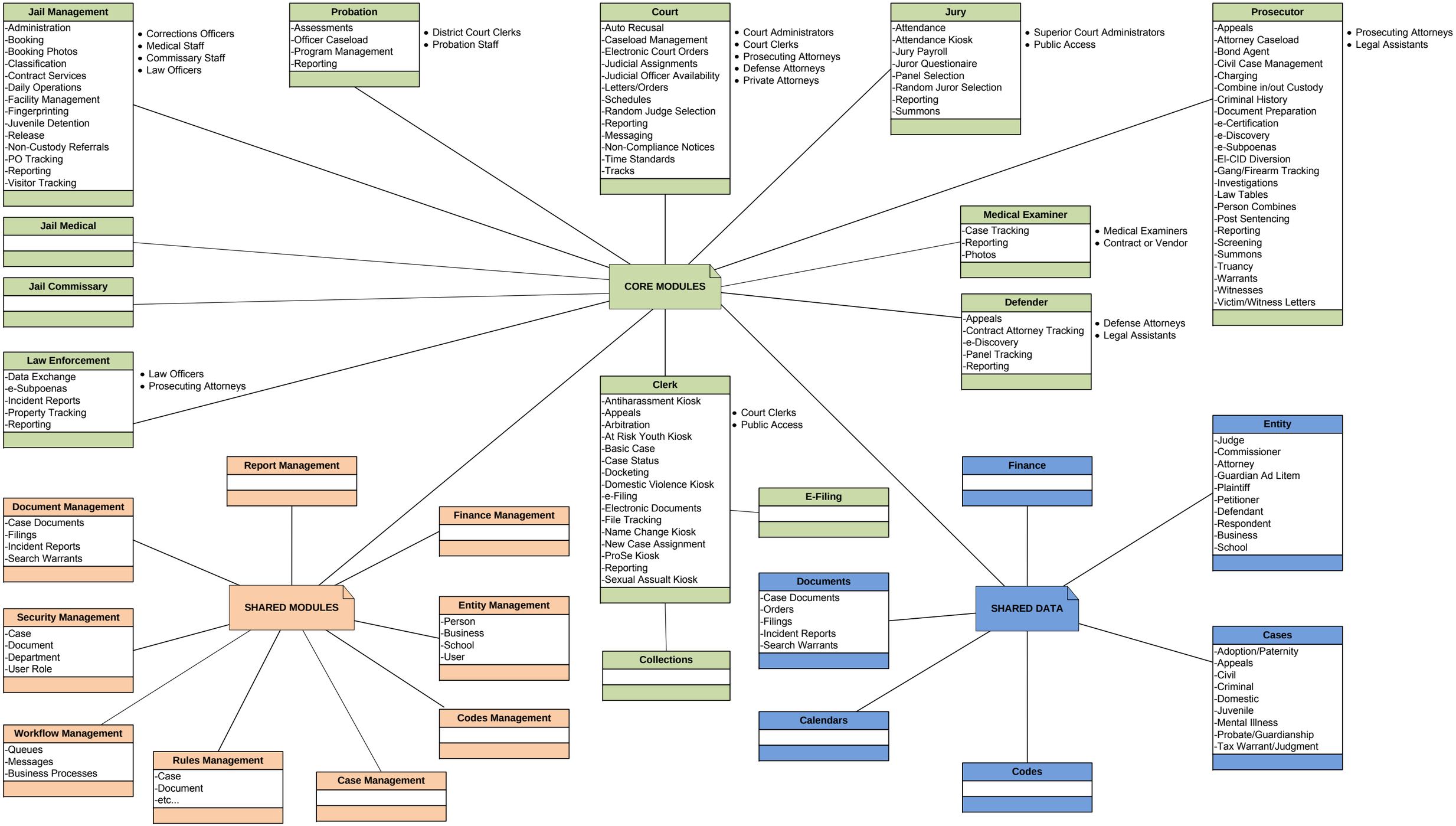
2. Status and Plans

The current version of LINX is a client/server product using a PowerBuilder client and a Sybase relational database. Online components have been constructed using Websphere. The core applications in use by LINX are coupled in a manner that allows information to pass easily from one application to the next. The system has been built to support the integrated functions of county justice, and the court and clerk components are a part of that integrated solution.

In 2009, Pierce County began efforts to migrate LINX from its existing architecture to an open-source application environment using Java, Ext JS, and Linux. It is anticipated that at the completion of the migration to the open-source architecture, LINX will be entirely Web-based. LINX migration activities for the court and clerk components have been estimated to require 40,000 hours of effort (10 FTEs, each at 2,000 hours per year for 2 years).

EXHIBIT I

LINX Model



Pierce County is currently conducting architectural planning efforts that will determine the course and timing of this migration. It is also considering the organizational structures that would be employed as LINX itself becomes open-source software. Based on AOC discussions with Pierce County, the steps the LINX migration will take would be influenced by a decision by the JISC to join with Pierce County and contribute resources to this effort.

3. Acquisition and Implementation

If LINX is adopted by the JISC, it is expected that the court and clerk components will be prioritized for migration and will undergo a rehosting process conducted jointly between AOC and Pierce County. If appropriately staffed and resourced, Pierce County IT believes that this process could be completed in approximately 2 years. As a result of this process, the core applications of LINX will be de-coupled to produce individual components (e.g., Superior Court) that can be utilized individually without requiring the full LINX suite of applications to be installed in a given jurisdiction.

Based on discussions with Pierce County, if LINX was offered to the Superior Courts statewide, the application's source code could be managed using a consortium. Under this approach, the source code is managed by an organization external to the AOC and Pierce County and can be licensed through an open-source public license. Under this structure, extension of the LINX solution is achieved through contributions from a meritocracy of consortium partners, each of which has the authority to extend the solution as it sees fit and offer that addition to the general user community. General adoption of an extension will result in its inclusion in future product releases.

In a partnership with Pierce County or in a consortium, the statewide use of LINX for the Superior Courts, the AOC would assume responsibility for day-to-day support of the courts' implementations of LINX. The exception to this responsibility would be in Pierce County, where the county's IT organization would support LINX as it does today.

B. Alternative 2 – Calendaring, Scheduling, Case Flow Management Applications

The second alternative to be examined for the Requirements Gap Analysis is a commercially available calendaring, scheduling and case flow management application. This type of application would be built specifically for calendar and case flow management in the courts. There are very few solutions that have demonstrated the ability to deploy the scope of functionality required by the Superior Courts.

1. Scope and Focus

The Calendaring, Scheduling, Case Flow Management alternative is differentiated from the full-feature commercial CMS in that it exclusively focused on the management of the court's calendar and supports tracking the events necessary to ensure that cases adhere to schedules and time standards. This alternative is a judicial and trial court administration tool only; solutions that fall into this alternative will not serve as a repository for court records or serve other court functions.

The implementation approach required for this alternative is to acquire and integrate this capability into the existing portfolio of applications used by the courts. It is anticipated that the application would have to be interfaced to SCOMIS or possibly other applications in order to avoid duplicate data entry.

2. Status and Plans

The number of vendors that provide solutions focused on calendaring and case flow management is limited. This is particularly true when it comes to experienced vendors who have implemented their solution on a scale similar to that of the Superior Courts. In our research, we found one vendor with this exclusive focus and a second vendor that is leveraging its application framework to add court recordkeeping and other case management functions. The software from one of the vendors is currently being employed (with significant modifications) by one of the Superior Courts in Washington.

3. Acquisition and Implementation

Acquisition of these applications would involve issuing a request for proposals and conducting a competitive procurement process. This process will be contingent upon funding and the availability of solutions in the market that can meet the needs of the Superior Courts. The product that will ultimately be selected must meet the needs of the Superior Courts and the AOC as effectively as possible within the allocated budget.

The goal of a COTS purchase is to find a solution that can adapt to the business of the courts and the AOC without major alterations to the solution's code base. This will allow the courts and the AOC to remain on the product's maintenance and release schedule and benefit from the demands for system improvement from the vendor's broader client base.

C. Alternative 3 – Commercial CMS

The third alternative examined for the Requirements Gap Analysis is a commercially available CMS. The court systems market offers well over a dozen systems that provide case management functions. Of that number, there are approximately a half dozen solution providers that may be considered capable of providing both the scope of functionality and the scale of implementation services necessary to implement a system in the Superior Courts.

1. Scope and Focus

The majority of commercial CMS vendors base their product(s) on the National Center for State Courts' (NCSC's) Case Management Functional Specifications. These requirements were developed in the early 2000s in an effort to define the functions that should be provided by a court CMS. The major case types, functions, and data groups defined in those efforts are shown in the table below.

Case Types	Major Functions	
• Civil • Criminal • Juvenile • Domestic Relations • Traffic	• Case Initiation and Indexing • Docketing and Related Recordkeeping • Hearings • Disposition • Execution • Case Close • Scheduling	• Calendaring • Financial • Document Generation and Processing • Management and Statistical Reports • File and Property Management • Security
Data Groups		
• Case • Person • Event • Financial • Document and Report		

While most commercial vendors have utilized the NCSC standards in the development of their CMS product, individual products vary significantly in the functionality that they provide. This differentiation is primarily based on the needs of each provider's customer base. In general, the broad customer base that major vendors serve has enabled them to base their CMSs on best practices in court case management. The need to serve a broad range of customers has also required CMS vendors to provide solutions with a high degree of configurability in order to minimize the costs of developing custom code and managing releases to support divergent code sets.

2. Status and Plans

Commercial CMSs are in a constant state of evolution. Approximately seven years ago, several of the largest CMS vendors began retiring their legacy client-server products and started developing on new products with more modern architecture. The result has been a number of new CMS products that offer considerable flexibility and a wide variety of features, from both architectural and functional perspectives. The competition among vendors and the increased demands of courts and justice agencies for electronic documents, data, and information exchange has created a highly competitive environment where each vendor must continuously improve its product to keep pace with the rest of the market.

In general, the CMS market is trending towards products that provide greater operational efficiency, both in terms of reducing the use of paper documents and automating the courts' interactions with their customers. Technologies like electronic filing, standardized electronic data exchange, self-service kiosks, and technology on the bench and elsewhere in the courtroom are emerging as priorities for future product development.

3. Acquisition and Implementation

Acquisition of a commercial software product will require the issuance of a Request for Proposals and conduct of a competitive procurement process. This process will be contingent upon funding and the availability of solutions in the market that can meet the needs of the Superior Courts. The product that will ultimately be selected must meet the business needs of the Superior Courts as well as the data needs and architectural constraints of the AOC as effectively as possible within the allocated budget.

The goal of a COTS purchase is to find a solution that can adapt to the business of the courts and the AOC without major alterations to the solution's code base. This will allow the courts

and the AOC to remain on the product's maintenance and release schedule and benefit from the demands for system improvement from the vendor's broader client base.

Some vendors offer component-based solutions and suites of solutions that support various functions; the JISC and the Superior Courts must decide whether to implement the entire solution or only selected components. This decision will ultimately be based on evaluation of each individual solution and the costs and risks associated with deploying a partial solution, as well as the likelihood of being able to adequately fill the gaps that the JISC chooses not to purchase.

III. Requirements Gap Analysis

This section provides an analysis of the differences between the SCMFS requirements and the business, technical, and organizational characteristics of the alternatives. The goal of the analysis in this section is to understand the areas where each alternative does not support the SCMFS requirements and understand how those gaps will impact the Superior Courts and the AOC.

A. Requirements Overview

The basis for comparison between the three alternatives is three groups of requirements that have been developed by MTG in consultation with AOC staff. The level of detail in these requirements is set at a relatively high level in order to facilitate comparison among market solution providers. Each set of requirements is described below.

1. Business Requirements

The Stage 1 Business Requirements used in the Requirements Gap Analysis are the requirements that are intended for use in the SCMFS project; these requirements have been developed in order to provide an appropriate level of detail to support market-wide analysis, rather than detailed differentiation among a set of proposed solutions. Additionally, given the voluntary nature of solution provider participation in the feasibility study (which includes no guarantee of procurement or award), the requirements were developed in such a way as to ensure that they were not so onerous as to discourage participation.

The Stage 1 Business Requirements have been developed using several sources, including, but not limited to:

- Previous AOC case management planning and procurement efforts, including primarily the 2008 CMS project.
- Requirements elicitation sessions with Washington Superior Court judges, court administrators, and court clerks.
- The NCSC Consolidated Case Management System Functional Standards.[7]
- Procurement efforts by other states, particularly the recent CMS procurement by the state of North Dakota.

The requirements from these reference efforts have been compiled into a large list that was used as the source for Stage 1 Business Requirements and will serve in the development of the Stage 2 Business Requirements. For the Stage 1 effort, these requirements were summarized into a relatively small number of general requirements in order to suit the needs of the SCMFS, as well as to improve the ability and willingness of feasibility study participants to respond.

This subsection provides definition for the spreadsheets that contain the Stage 1 Business Requirements and the results of the alternatives that were assessed. The requirements and survey results are provided in the format shown below; descriptions of each component are provided after the table.

[7] Available at http://www.ncsconline.org/d_tech/standards/.

No.	Description	Detail Link	Alt. Affinity	Implication	Strategy	Level of Effort
FUNCTION: MANAGE CASE						
Sub-Function: Initiate Case						
12	Requirement Text	Reference	2	No implication given for "2" scores for LINX or "3" scores for COTS CMS.		
13	Requirement Text		1	Description	A	Estimated hours

- Header row (dark blue bar):
  - *No.* – The identifier assigned to the requirement.
  - *Description* – A narrative description of the desired functionality.
  - *Detail Link* – Reflects an association with one or more line items in the document *Business Requirements List – Version 3-1a*, which was used as the source for compiling the Stage 1 requirements.
  - *Alt. Affinity* – A measure of how well the given alternative meets the requirement. Affinity measures for each alternative are explained in the each alternative's respective subsection.
  - *Implication* – Includes a brief discussion on the implication(s) of failure to meet the given requirement and what must be done to compensate for the requirement's omission.
  - *Strategy* – Provides a one-letter indicator of the strategy that will be needed to fill the gap. Indicators are described in subsections IV.A and IV.B.
  - *Level of Effort* – An estimate of the hours that will be necessary to fulfill the requirement or perform the work discussed in the implication column.
- Function (light blue bar) – A major functional area.
- Sub-function (gray bar) – A subsection of a major functional area.

2. Technical Requirements

Technical requirements provide a description of the technology environment into which any future solution must fit. The Stage 1 Technical Requirements were developed as a set of guidelines against which alternative solutions would be assessed. They are a selected set of requirements drawn from a much more comprehensive list of requirements that are intended for use as either specifications for extending the LINX alternative or procuring a commercial CMS.

This subsection provides definition for the spreadsheets that contain the Stage 1 Technical Requirements and the results of the alternatives that were assessed. The requirements are

provided in the format shown below; descriptions of each component are provided after the table.

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
1	M	*Requirement Classification*				
		Requirement Text	3			
2	M	*Requirement Classification*				
		Requirement Text	1	For requirements with a 0, 1, or 2 affinity score. Provides a description of the gap and what must be done to fill it.	A	Estimated hours to fill gap using approach described in Implication and Strategy columns.

- *No.* – The identifier assigned to the requirement.
- *Type* – An indication of whether the requirement is Mandatory (denoted by an "M") or Highly Desirable (denoted by "HD").
- *Requirement* – The requirement's classification and a narrative description of the required technical specification.
- *Alternative Affinity* – A measure of how well the given alternative meets the requirement. Affinity measures for each alternative are explained in the each alternative's respective subsection.
- *Implication* – Includes a brief discussion of the implication(s) of failure to meet the given requirement and what must be done to compensate for the requirement's omission.
- *Strategy* – Provides a one-letter indicator of the strategy that will be needed to fill the gap. Indicators are described in subsections IV.A and IV.B.
- *Level of Effort* – An estimate of the number of hours needed to fulfill the requirement or perform the work discussed in the Implication column.

3. Organizational Considerations

The applications that underlie the alternatives being considered are complex and require considerable skill to implement and maintain. They employ sophisticated data structures and algorithms. To be effective, they must be intricately integrated into court operations. The implementation of these alternatives will very likely involve changes in processes and organizational responsibilities.

To be effective for the Washington courts, an application needs organizational support for development, implementation, ongoing application maintenance, and ongoing customer service to the courts. The application support organization should have:

- A well-established management structure that will focus the organization's resources to support the application for its clients.
- An adequate stream of financial resources to support its activities.
- The human resources required to support the application.
- IT infrastructure, tools, knowledge base, and well-established methods to maintain, implement, and support the application.

The focus of the organization should be as closely aligned with the needs of the Washington courts as possible. It should be ready to address Washington courts' needs as new mandates on the courts arise.

B. LINX Requirements Gap Analysis

This section provides the Requirements Gap Analysis for the LINX alternative. Data for the LINX alternative was gathered in meetings with Pierce County and functional data was gathered from discussions and a site visit to the Pierce County courthouse. All data gathered was validated with Pierce County personnel.

Affinity Measures for Business and Technical Requirements are defined as follows:

- 0 – LINX does not meet this requirement currently or as envisioned in the future.
- 1 – LINX does not meet this requirement currently, but may meet it in the future.
- 2 – The requirement is currently met by LINX and will be met in the future.

Organizational questions were qualitative and thus are not scored; findings related to the organizational questions are discussed in Section V – Impacts and Implications.

1. Summary of Functional Gaps

Data for the LINX alternative's affinity to the Stage 1 Business Requirements is provided in APPENDIX B.1. The Requirements Gap Analysis revealed relatively few significant functional gaps between LINX and the Business Requirements. These gaps can be organized into a few general areas:

- Statewide resource reservations.
- Several notification functions.
- Exhibit management functions.
- Record linking capabilities, for example:
    - Linking cases by family member participation
    - Maintaining certain party relationships
- Certain pre-post disposition services.
- Unique requirements involving capabilities such as:
    - Changing a juvenile referral to an adult case.
    - Tracking communication to unofficial parties.
    - Searching Superior Court appeal cases.
    - Certain automatic docket entries.
    - Automatic closing of cases.

Despite these gaps, the functional fit is close and the gaps may not prove material. This is not necessarily surprising, given that LINX is in many ways designed to mirror the functionality of JIS systems and augment that functionality based on the operations of a Superior Court. Additionally, the Business Requirements are at a relatively high level and describe functions that are both familiar to Washington courts and common to many courts.

When discussing the functional capability of LINX, it is important to note that the manner with which court records will be kept will be different than how they are kept with SCOMIS and JIS. The scope of the records that are kept will be able to be increased. The structure of the records will be different and the codes employed will be different. Some of the record-keeping practices necessitated by the limitations of SCOMIS/JIS (e.g., generation of a new case record in SCOMIS to record a judgment) may be eliminated.

2. Summary of Technical Gaps

Data for the LINX alternative's affinity to the Stage 1 Technical Requirements is provided in APPENDIX B.2. The affinity analysis revealed a number of technical gaps between the current LINX application and the Technical Requirements. These gaps can be organized into the following categories:

- Scalability to implement in multiple courts.
- Data exchange requirements:
    - NIEM compliance.
    - Reusable, platform-independent data exchanges.
- Architectural components:
    - Java or .NET application architecture.

Several of these technical gaps are items that Pierce County IT has developed capabilities to support but has yet to implement, due to the lack of partner capabilities or lack of partners. Additionally, the majority of technical gaps will be addressed within the scope of LINX design activities that will help to ensure that LINX conforms to these requirements. Most remaining gaps can be addressed through the use of specific EA capabilities to accommodate the variance or by relaxing the technical requirement.

While the number of technical gaps may appear relatively high, the severity of these gaps does not constitute a significant deviation from the Technical Requirements either individually or as a whole. In many cases, Pierce County has built or is working to build capabilities to support these requirements. In those instances where capabilities do not exist, planning and design activities can fill those gaps without tremendous additional effort.

3. Organizational Gap Fit

To be a viable alternative for the Washington Superior Courts, LINX must have the organizational focus, structure, and resources required for such a mission. The table below describes the LINX alternative's current organizational fit as a resource for case management applications for the Superior Courts.

Standard	Gap or Fit	Description
Well-established management structure.	Material Gap	LINX is currently managed through the Pierce County IT department. However, a new management structure is needed to make LINX viable for the Superior Courts throughout Washington. This management team would need to be focused on developing, maintaining, distributing, and supporting LINX as an open-source court product. Pierce County is considering the viability of creating an independent consortium to provide this management structure.
Adequate financial resources.	Material Gap	LINX is currently funded by Pierce County to meet its county agency needs. Significant additional funding would be needed to prepare LINX to operate in the Superior Courts throughout Washington. An independent consortium may provide the financial management structure to ensure adequate long-term financial resources, drawn from contributions by consortium members.
Human resources to support the application.	Material Gap	In order to prepare LINX for use by the Superior Courts statewide by January 2014, approximately 10 additional FTEs for software development would be required. In addition, a staff will be needed to support testing and deployment.
IT infrastructure, tools, knowledge base, and methods.	Narrowing Gap	Pierce County intends to move LINX to a new IT platform. The County is developing the IT infrastructure, tools, knowledge base, and methods needed.
Organizational focus on courts, in particular the Washington courts.	Material Gap	LIYNX is designed as an integrated justice information system, supporting the operations of other criminal justice organizations. It is the intention of the chief architect to maintain this focus.

Items noted with a material gap are areas where the organizational capabilities are currently insufficient to support the needs of the Washington Superior Courts. Material organizational development needs to be undertaken to meet these needs. A narrowing gap is a situation where the capabilities are being developed but have not been implemented at scope and scale contemplated for Washington Superior Courts. As described in the table, there are several organizational capabilities that would need to be developed in order for LINX to be effectively deployed and supported for the benefit of Washington Superior Courts.

C. Commercial Calendaring, Scheduling, Case Flow Management Application Requirements Gap Analysis

For the calendaring, scheduling, and case flow management application alternative, responses were gathered from vendors who provided this specific type of application and chose to participate in the request for information sent out by MTG. The survey revealed that one provider serves the court market space. This vendor answered a number of questions about the functional, technical, and organizational aspects of their solutions for calendaring and case flow management.

We rated the vendor's affinity to the Business and Technical Requirements based on their responses to the questions. Affinity responses for this alternative are:

- 0 – Requirement is not offered by the vendor.
- 1 – Requirement is offered by the vendor.

In all cases where the requirement was not met, the vendor was open to making reasonable accommodations.

Organizational questions were qualitative and thus not scored; findings related to the organizational questions are discussed after the discussion of functional and technical gaps.

1. Summary of Functional Gaps

Data for the Calendaring, Scheduling, Case Flow Management Application alternative's affinity to the Stage 1 Business Requirements is provided in APPENDIX C.1. Those requirements include many functions involved in docketing and other court functions to provide a full evaluation of the alternatives that offer a broader scope of functionality. Because of the limited scope of functionality in this alternative, there are a significant number of functional gaps. They include:

- Many functions that are outside the scope of calendaring, scheduling, and case flow management but in the domain of SCOMIS or other court applications.
- Many functions that require an interface or interoperability with SCOMIS or other applications.
- Some functions that are not currently provided by the application, but could be provided with extensions (customization).

When discussing the functional capability of this alternative, it is important to note that it is not expected to meet all the requirements listed in APPENDIX C.1. Instead, it is expected to work with and leverage the capabilities of SCOMIS and other court applications.

2. Summary of Technical Gaps

The data and analysis for the Calendaring, Scheduling, Case Flow Management Application alternative's affinity to the Stage 1 Technical Requirements is provided in APPENDIX C.2. There were very few technical gaps between the commercial CMS alternative and the Technical Requirements. The gaps that did exist fall into two areas:

- Support for real-time information exchange.
- Advanced user interface support.

No response was received from the vendor on those requirements. However, those two items can likely be resolved.

3. Organizational Gap Fit

To be a viable alternative for the Washington Superior Courts, a commercially available calendaring, scheduling, and case flow management application must have organizational focus, structure, and resources that will support the courts. The table below describes the extent to which the commercial marketplace is positioned to fit as a resource for case management applications for the Superior Courts.

Standard	Gap or Fit	Description
Well-established management structure.	Likely Fit	The respondent presented a description of an established and effective management structure focused exclusively on serving court clients.
Adequate financial resources.	Likely Fit	The respondent employs a licensing model that generates ongoing cash flow and gave no indication of financial stress.
Human resources to support the application.	Likely Fit	The respondent described a number of engagements involving implementation support and they appear to have the resources to provide ongoing support services.
IT infrastructure, tools, knowledge base, and methods.	Likely Fit	The respondent described operations that leverage these types of resources.
Organizational focus on courts, in particular the Washington courts.	Fit	The courts are a major focus of business for this provider.

Items noted as a fit can be reasonably expected to meet the needs of the Washington Superior Courts, no matter which leading vendor is selected. Items that fit are likely to be met by the responding vendor. However, this information is self-reported by the responding vendor and that vendor's plans may change over time. The courts should take actions in procurement and contract negotiation to make sure their needs are met and that risks are mitigated.

D. Commercial CMS Requirements Gap Analysis

This section provides the Requirements Gap Analysis for the commercial CMS alternative. For the commercial CMS alternative, responses were gathered from vendors who chose to participate in the request for information sent out by MTG. The vendors were asked a number of questions about the functional, technical, and organizational aspects of their solutions for calendaring, case flow management, and case management.

In order to rate a single alternative from multiple data sources, the functional and technical responses from each vendor were compared on whether or not they met the stated requirements. Individual responses were aggregated to determine how widely a given requirement was available within the vendor community. Affinity responses are as follows:

- 0 – Requirement is not offered by CMS Vendors.
- 1 – Requirement is offered by a minority of respondents.
- 2 – Requirement is offered by a majority of respondents.
- 3 – Requirement is offered by all respondents.

Organizational questions were qualitative and thus not scored; findings related to the organizational questions are discussed after the discussion of functional and technical gaps.

1. Summary of Functional Gaps

Data for the commercial CMS alternative's affinity to the Stage 1 Business Requirements is provided in APPENDIX D.1. As with the LINX alternative, there were relatively few significant

functional gaps in the analysis of the vendor market. These gaps can be organized into the following areas:

- Suggesting resolutions to scheduling conflicts.
- Managing inventory of available social services.
- Changing a juvenile referral to an adult case.
- Printing calendars in multiple languages.
- Recording audio/video and managing the maintenance of these records.
- Accessing to risk assessment tools.
- Identifying when a mandatory minimum sentence has been applied

Despite these gaps, the functional fit is close and the gaps may not prove material. This is in part due to the high-level nature of the Business Requirements but can also be attributed to the high configurability of modern commercial CMSs that allow customers to design data field, events, and rules without altering the system's code base. Data for the commercial CMS alternative's affinity to the Stage 1 Business Requirements is provided in APPENDIX D.1.

When discussing the functional capability of the commercial CMS alternatives, it is important to note that the manner with which court records will be kept will be different from how they are kept with SCOMIS and JIS. The scope of the records that are kept will be able to be increased. The structure of the records will be different and the codes employed will be different. Some of the recordkeeping practices necessitated by the limitations of SCOMIS/JIS (e.g., generation of a new case record in SCOMIS to record a judgment) could be eliminated.

2. Summary of Technical Gaps

Data for the commercial CMS alternative's affinity to the Stage 1 Technical Requirements is provided in APPENDIX D.2. There were very few technical gaps between the commercial CMS alternative and the Technical Requirements. The gaps that did exist fall into the following categories:

- Database and message encryption.
- SOA and application architecture.

While certain architectural requirements are not met by a minority of commercial CMS vendors, the AOC EA aligns well with the majority of the commercial CMS market. The Requirements Gap Analysis reflects that alignment.

3. Organizational Gap Fit

To be a viable alternative for the Washington Superior Courts, a commercially available CMS must have organizational focus, structure, and resources that will support the courts. The table below describes the extent to which the commercial CMS marketplace is positioned to fit as a resource for case management applications for the Superior Courts.

Standard	Gap or Fit	Description
Well established management structure.	Fit	The leading and mature commercial court CMS providers all have management organizations that are focused exclusively on serving court clients like the Washington Superior Courts.

Standard	Gap or Fit	Description
Adequate financial resources.	Material Fit	The leading and mature commercial court CMS providers are generally sufficiently funded to provide for research, development, implementation, and support of their product suite. This funding comes from license and maintenance fees paid by customers. Some providers are better funded than others.
Human resources to support the application.	Material Fit	The leading and mature commercial court CMS providers are generally well staffed to support their products. If the vendor is under a period of heavy demand, these resources may be spread thin. In addition, the size and quality of staff may vary between the vendors.
IT infrastructure, tools, knowledge base, and methods.	Material Fit	The leading and mature commercial court CMS providers have established and proven their IT infrastructure, tools, knowledge base, and methods. Some vendors are redesigning their architecture at this time.
Organizational focus on courts, in particular the Washington courts.	Material Fit	The focus of court CMS providers is the operation of the courts. However, Washington Superior Courts is one relatively small group of customers. There may be delays in obtaining customization to meet legislative mandates.

Items noted as a fit can be reasonably expected to meet the needs of the Washington Superior Courts, no matter which leading vendor is selected. Items that materially fit are highly likely to meet the courts' needs, whichever leading vendor is selected. However, there is some variability among the vendors, and the courts should take actions in procurement and contract negotiation to make sure their needs are met and that risks are mitigated.

As shown in this table, the providers of commercially available CMS applications are position to support the research, development, deployment, and support of the applications that they offer. There is some variability in the market. However, the capabilities and depth of the market would enable the Washington Superior Courts to obtain the organizational support it needs.

IV. Impacts and Implications

This section provides discussion on the unique impacts on and implications to the courts and the AOC associated with the decision to adopt each alternative. Implications to external agencies, including Pierce County, are not discussed. Each subsection focuses on three major areas: Business, Technology, and Organization. The impacts and implications discussed in this section are limited to those items that are unique to each alternative. Impacts and implications common to both alternatives, such as the resource requirements for implementation, are not discussed.

The findings in this section were primarily derived from a series of interviews conducted with Pierce County IT and commercial CMS vendors who chose to participate in information-gathering efforts.

A. Impacts and Implications of LINX Alternative

1. Business Impact

As with any major systems implementation, the impact of the LINX alternative to the Superior Courts will be significant. From a functional perspective, LINX offers many of the functions that SCOMIS users are familiar with today. However, migration efforts and ongoing support of the solution will impact the business of the courts and the AOC.

There are three approaches that can be used to fill the gaps identified in APPENDIX B.1. These strategies are described in the table below.

ID	Strategy	Description	Est. Cost
D	Include in LINX Design	These functional gaps can be addressed through the design of and migration to the updated LINX solution. Some or all of this effort may be in addition to the LINX migration effort.	0 – 4295 hours
U	Utilize AOC Capabilities	These gaps can be bridged by leveraging or extending the capabilities planned for in the AOC EA. Technical efforts will be required to do so.	750 hours
A	Alter AOC EA	The gaps must be filled by adding capabilities to the AOC EA through acquisition of additional tools or expertise.	1000 hours plus license costs

The column headings in this table are defined as follows:

- *ID* – The identifier used as an abbreviation for the strategy. Relates to the Strategy column in APPENDIX B.1.
- *Strategy* – The name of the approach suggested to fill the gap.
- *Description* – A brief description of the criteria used to classify a requirement into a given strategy.

- *Est. Cost* – The estimated level of effort necessary to fulfill all requirements that can be met using the specified strategy. Level of effort to fill individual gaps is provided in APPENDIX B.1.

As noted in Section II above, LINX migration activities have been estimated to require 40,000 hours of effort. The estimated level of effort in the table above is in addition to those migration activities. It is important to note that some, possibly many of the gaps identified can be filled as a part of the migration effort. As a result, those gaps that can be filled in that manner are presented as a range from zero to the sum of estimated hours. In addition to the impacts directly related to gaps found between LINX capabilities and the Business Requirements, there are other, qualitative ways in which implementing the LINX alternative will impact the AOC and the courts. The following items were gathered as part of the interview and analysis processes:

- ***The Structure of Court Records and the Data Collected in Court Records Are Likely to Change –*** Data structures, lists of values, and the data that is being maintained in the court record is very likely to change with the implementation of LINX for Superior Courts. While much of the variation will likely be managed through translations, the data maintained in JIS and that maintained in LINX will not be perfectly comparable. This will occur because:
    - It is too costly to precisely replicate SCOMIS/JIS data structures and rules in the LINX application and data structures.
    - Attempting to precisely replicate SCOMIS/JIS data structures and rules in the LINX application may unnecessarily limit technological innovation in favor of homogeneous data.
    - Abandoning recordkeeping practices necessitated by SCOMIS/JIS limitations may improve the quality of the court record.

  This will necessitate changes in statewide statistical reporting and in state agency interfaces from court records.
- ***Adoption of Familiar Work Processes and Procedures Will Ease Transition –*** LINX has been developed in a Washington Superior Court, for use in a Washington Superior Court. It uses terminology and work processes that will be familiar to users of SCOMIS and other JIS systems. This familiarity inspires confidence in the system among court and clerk personnel and should shorten the learning curve necessary for users to adopt the system.
- ***LINX Provides an Option for County Expansion to Justice Partners –*** As the modernization of LINX continues past the court and clerk modules, additional modules will come on line and be made available to LINX users. However, these additional modules cannot be supported by the AOC and must be supported by the individual county, Pierce County, or the executive branch agency (e.g., Department of Justice) under which the partner serves.
- ***Pierce County Offers Insights as an Experienced Forerunner –*** By adopting LINX, other courts around the state will have Pierce County as an experienced resource for information on how LINX works and how it is used.
- ***Implementation of Court Components Only Results in Loss of Integration-Related Efficiencies –*** The proposed future vision for LINX is to remove the court and clerk components from the integrated Pierce County environment in which they currently reside. This stand-alone CMS nullifies several of the time-saving capabilities that allow data to pass between the court and its partners without duplication of data entry efforts.

- ***Time to Pilot and Deployment –*** The time needed to put the agreements into place for LINX to develop, design, build, pilot, and deploy the application into production has been estimated at 2 to 3 years. Given the necessity to build a support organization from the ground up as well as to "de-couple" and reverse-engineer LINX functionality to operate in a multiple-court environment, this estimate may be considered optimistic.

2. Technical Impact

The technical impacts of the LINX alternative are yet to be fully determined since Pierce County is early in its architectural planning and LINX migration efforts. Many of the Technical Requirements can be met through planning for the LINX migration and extension of the capabilities of the AOC EA. There are several impacts that are somewhat certain to be felt if the LINX alternative is employed for the Superior Courts. These are described below.

As with the functional gaps, there are three approaches that can be used to fill the identified technical gaps. These approaches are also described in the table below.

ID	Strategy	Implication	Est. Cost
D	Include in LINX Design	These gaps can be bridged as LINX is redesigned and moved to a new technology platform. The estimated hours reflect the technical planning, configuration, and development required.	0–5,250 hours
U	Utilize AOC Capabilities	These gaps must be filled by leveraging or extending the planned capabilities of the AOC EA. This would involve architectural planning, configuration, and development.	1,620 hours
A	Alter AOC Capabilities	These gaps could be bridged by adding capabilities to the AOC EA through acquisition of additional tools.	1,000 hours plus license costs

The column headings are defined as follows:

- *ID* – The identifier used as an abbreviation for the strategy. Relates to the Strategy column in APPENDIX B.2.
- *Strategy* – The name of the approach suggested to fill the gap.
- *Description* – A brief description of the criteria used to classify a requirement into a given strategy.
- *Est. Cost* – The estimated level of effort necessary to fulfill all requirements that can be met using the specified strategy. Level of effort to fill individual gaps is provided in APPENDIX B.2.

Once again, it is important to note that many of the gaps identified can be filled by designing LINX to support the desired functionality and may be filled without affecting the total number of hours required to complete the LINX migration. As a result, those gaps that can be filled through system design are presented as a range from zero to the sum of estimated hours. In addition to the impacts directly related to gaps found between the LINX technology architecture and the Technical Requirements, there are a number of ways in which the LINX alternative will impact the AOC and the courts. The following items were gathered as part of the interview

process; while not quantified in terms of cost or level of effort, they are important considerations in the decision-making process.

- ***The Technology Deployment Model Has Not Been Determined –*** The decision on whether to centralize or distribute the LINX application has not yet been determined. However, each alternative brings with it complexities that must be addressed. In a future LINX environment where individual courts maintain their own instance of LINX, individual courts can be flexible in the way they choose to configure and extend the application, but this approach adds complexity to application deployment and support. In a centralized environment where a single application is hosted centrally, the application and support organization(s) must be built in a way that can support individual court configurations without source code deviations.
- ***A Large-Scale Development Effort Is Inconsistent With the JISC's IT Management Strategy –*** If the LINX alternative is chosen, the courts will have effectively opted to build a CMS. Given the generally undocumented nature of the LINX code base, the task of transitioning current functionality to a new architecture while adding new capabilities requested by the AOC requires fairly sophisticated software engineering management and governance. The level of effort estimated to be needed from the AOC alone is approximately 10 FTEs for 2 years. This level of software development is inconsistent with the JISC's IT management strategies.
- ***Support for Independent Developers Is Needed –*** In order for the open-source meritocracy to thrive, the managing entity of the migrated LINX application will need to provide training and support to those courts that wish to develop their own LINX components. This support must include documentation on development standards and may extend to software development kits and other development tools.

3. Organizational Impact

The LINX alternative proposes a significant shift in the IT management practices and support structure of the AOC and presents several challenges to Pierce County and the AOC when considering the direction of LINX. Organizational impacts and implications are described below.

- ***Partners' Strategies Are Not Fully Aligned –*** The respective missions of Pierce County and the AOC may come into conflict. Pierce County's responsibility is to support and maintain an IJIS environment that supports not only the courts, but other justice agencies within the county. The AOC must focus on the functional capabilities of the courts, statewide.
- ***The Necessary Open-Source Governance Structure Has Not Been Established –*** The open-source, consortium-style governance model proposed for LINX raises a number of questions about the role of the courts, the AOC, the JISC, and Pierce County regarding stewardship of the LINX code base as well as ongoing maintenance and improvements. Without a centralized governance and support structure, the responsibility for making changes to the code base in response to legislative changes must be clearly assigned. If the LINX alternative is chosen, a governance structure would be needed and would require a significant time investment to build and codify the agreements
- ***The Necessary Community of Interest Has Not yet Committed to LINX –***Successful open-source projects are reliant upon large numbers of users who are invested in furthering the product not only for their own good, but for the general good of the entire user community. In order for the LINX alternative to be successful in the long term, its open-source model must be supported by an active community of developers. This could develop if a significant number of the courts that use LINX are both willing to

support product extension and capable of dedicating the resources necessary to support the environment. Currently, Pierce County is in discussions with a handful of other courts in the state to consider joining the LINX community; however, the county does not yet have any other partners committed to the project.

- ***AOC May Have More Direct Management of Source Code –*** The LINX alternative will allow the AOC to have some direct influence on the source code of the LINX application. As envisioned, the majority of initial design and development work will be conducted under the direction of Pierce County. However, the AOC will have influence on the direction of the systems as a partner with Pierce County and a funder of the efforts. This offers greater influence than what would be available with a commercial application.
- ***Training and Support Structure –*** If the LINX alternative is chosen, a complete training and support structure must be put in place to facilitate the implementation and ongoing operation of the updated LINX solution. This support structure must exist separately from Pierce County, which will likely only be able to provide input to the product as a representative in a community of interest. Day-to-day training, operation, and maintenance activities will fall to AOC or to the IT support staffs of the individual courts.

B. Impacts and Implications of Commercial Calendaring, Scheduling, and Case Flow Management Application Alternative

1. Business Impact

As noted above, there are many gaps between the documented Business Requirements in APPENDIX C.1 and the functional capabilities offered by this alternative. However, due to the nature of this alternative, the gaps would be addressed differently in order to best meet the needs of the Washington courts. These approaches are described in the table below.

ID	Strategy	Implication	Est. Cost
C	Customize Commercial Product	These gaps can be addressed by customizing the calendaring and case management application to meet the AOC's requirement.	1,200 hours
I	Develop Interfaces and Interoperability	These gaps are expected and can be addressed by leveraging and interfacing with SCOMIS and court applications as needed to meet the capability avoid duplicate data entry.	5,840 hours
O	Outside of Scope	These capabilities are naturally outside of the scope of calendaring and case management application. These capabilities can be provided by other applications.	0 hours

In this table, the columns include the following.

- *ID* – The identifier used as an abbreviation for the strategy. Relates to the Strategy column in APPENDIX C.1.
- *Strategy* – The name of the approach suggested to fill the gap.

- *Description* – A brief description of the criteria used to classify a requirement into a given strategy.
- *Est. Cost* – The estimated level of effort necessary to fulfill all requirements that can be met using the specified strategy. Level of effort to fill individual gaps is provided in APPENDIX C.1.

In addition to the impacts directly related to gaps found between the commercial CMS alternative and the Business Requirements, there are a number of ways the commercial CMS alternative will impact the AOC and the courts. The following items were gathered as part of the interview process; while not quantified in terms of cost or level of effort, they are important considerations in the decision-making process.

- ***Relatively Few Software Vendors Support This Niche –*** While there are many calendaring and case flow management applications developed to serve law firms, our research found only one solution that focused exclusively on calendaring and case flow management for the courts. This is the Levare product that has been implemented with modifications at the Kitsap Superior Court. While we found another product that was previously offered in this space, it has since been enhanced to provide fuller case management functions. There are a limited number of viable solutions and providers in the marketplace who are experienced with implementations of the scope and scale required for the Superior Courts.
- ***The Interfaces and Interoperability Required Will Be Complex –*** To avoid duplicate data entry, the calendaring and case management application would need to be tightly integrated with SCOMIS. This sophisticated level of integration could prove difficult to specify, develop, and implement.
- ***This Alternative Could Provide Interim Calendaring and Case Flow Management Capabilities –*** As noted above, a good deal of customization would be required to tie the sole calendaring-only application into the existing AOC architecture. However, two other tactics could be employed:
    - Implement the application without interfaces and integration in order to provide needed capabilities until SCOMIS is replaced.
    - Add docketing and case management capabilities to this application over time.
- ***Procurement Risk Could Impact Success –*** Any competitive procurement brings with it a number of risks. These risks are influenced both by forces within the buyer's control (e.g., specifications and traceability within the subsequent contract) and those outside the buyer's control (e.g., market forces). These dynamics could result in unfavorable variances in scope of functionality, schedule, and cost.
- ***Division of Labor is Likely to Change to Deliver New Efficiencies –*** The division of labor between court and clerk staff in Washington is a significant issue. None of the commercial software alternatives have been designed with Washington's specific division of labor in mind. The roles of each participant must be clearly articulated as part of procurement and considered in the selection, configuration, and implementation efforts. All parties should consider their roles and how they may reasonably change for the better under a new CMS.

2. Technical Impact

Given the commercial calendaring and case flow management application alternative's general alignment with the AOC EA, the technical impact of this alternative will be relatively small. Only two general strategies are suggested to address the identified gaps.

ID	Strategy	Implication	Est. Cost
C	Customize Commercial Product	These gaps can be bridged through customization.	500 hours
U	Utilize AOC Capabilities	These gaps can be filled by leveraging or extending the existing capabilities of the AOC EA.	500 hours

The columns of the table are defined as follows:

- *ID* – The identifier used as an abbreviation for the strategy. Relates to the Strategy column in APPENDIX C.2.
- *Strategy* – The name of the approach suggested to fill the gap.
- *Description* – A brief description of the criteria used to classify a requirement into a given strategy.
- *Est. Cost* – The estimated level of effort necessary to fulfill all requirements that can be met using the specified strategy. Level of effort to fill individual gaps is provided in APPENDIX C.2.

Note that the estimated cost presented above represents the total effort necessary to fill all gaps identified in the affinity analysis. As a result, a gap is defined as any function that was not provided by the respondent.

In addition to the impacts directly related to gaps found between this alternative and the Technical Requirements, this alternative will impact the AOC and the courts. The following item was gathered as part of the interview process; while not quantified in terms of cost or level of effort, it is an important consideration in the decision-making process.

- ***Application Scope May Conflict With the Court's Existing Applications –*** The SCMFS project (and in particular this alternative) has a very specific scope that excludes commonly included components (such as docketing and financials) that may be tightly integrated into some commercial applications. This could limit the AOC's architectural choices in the future.

3. Organizational Impact

As noted previously, the vendor community is materially focused on and prepared to serve the courts. Adoption of the commercial Calendaring, Scheduling, and Case Flow Management alternative will present a number of organizational impacts. These impacts are discussed below.

- ***Plans for Product Evolution Should Be Considered –*** In order to stay competitive in the marketplace, a commercial CMS must constantly evolve to offer new capabilities and improvements to existing capabilities. Each commercial product has a defined enhancement plan that charts product changes over the next several years. These plans indicate the vendor's alignment with the needs and plans of the Washington courts and the vendor's capacity to support the courts on an ongoing basis.
- ***Washington Courts Will Have Relatively Less Influence on the Direction of the Application's Evolution –*** The Washington courts would be one of many customers for a commercial application provider. In such a relationship there is a risk that the product's evolution diverges from the needs of the Washington courts in a way that takes the courts off of the standard maintenance and upgrade path. However, given that the

Washington courts will be one of the largest customers of any commercial CMS vendor, it is much more likely that the Washington courts will have some influence on the system's evolution.

- ***The Staff Resource Needs of the Washington AOC Will Change –*** Moving from a system development to system acquisition strategy calls for a change in the skill sets at the Washington AOC. Needs for application programmers will diminish. Needs for contract managers, project managers, and application integration specialists will increase. The Transformation project currently being undertaken by the AOC will help to address this issue.

C. Impacts and Implications of Commercial CMS Alternative

1. Business Impact

As with the other alternatives, there are gaps between the documented requirements in APPENDIX D.1 and the functional capabilities of the vendor community. As with the other alternatives, the efforts to bridge those gaps can be categorized into a limited set of strategies. These approaches are described in the table below.

ID	Strategy	Implication	Est. Cost
C	Customize Commercial Product	These gaps can be addressed by customizing the commercial CMS to meet the AOC's requirement.	6,500 hours
U	Utilize AOC Capabilities	These gaps can be filled by leveraging or extending the existing capabilities of the AOC EA. This would involve architectural planning, configuration, and development.	500 hours
A	Alter AOC Capabilities	These gaps can be filled by adding capabilities to the AOC EA through acquisition of additional applications.	1,000 hours plus license costs

In this table, the columns include the following.

- *ID* – The identifier used as an abbreviation for the strategy. Relates to the Strategy column in APPENDIX D.1.
- *Strategy* – The name of the approach suggested to fill the gap.
- *Description* – A brief description of the criteria used to classify a requirement into a given strategy.
- *Est. Cost* – The estimated level of effort necessary to fulfill all requirements that can be met using the specified strategy. Level of effort to fill individual gaps is provided in APPENDIX D.1.

It is important to note that the estimated cost presented below represents the total effort necessary to fill all gaps identified in the affinity analysis. As a result, a gap is defined as any function that was not provided by any single respondent. It is likely that any single solution will only have a subset of these gaps. Therefore, the numbers provided should be considered in the high range of effort necessary to meet the system requirements. In addition to the impacts

directly related to gaps found between the commercial CMS alternative and the Business Requirements, there are a number of ways the commercial CMS alternative will impact the courts and the AOC. The following items were gathered as part of the interview process; while not quantified in terms of cost or level of effort, they are important considerations in the decision-making process.

- ***The Structure of Court Records and the Data Collected in Court Records Are Likely to Change –*** Data structures, lists of values, and the data that is being maintained in the court record is very likely to change with the implementation of a commercial CMS for Superior Courts. While much of the variation will likely be managed through translations, the data maintained in JIS and that maintained in a commercial CMS will not be perfectly comparable. This will occur because
    - It is too costly to precisely replicate SCOMIS/JIS data structures and rules in the commercial CMS application and data structures.
    - Altering the data structures of a commercial CMS to replicate SCOMIS/JIS data is a radical change and will likely take the AOC off of the product's support and development path.
    - Abandoning recordkeeping practices necessitated by SCOMIS/JIS limitations may improve the quality of the court record.

  This will necessitate changes in statewide statistical reporting and in state agency interfaces from court records.
- ***Procurement Risk Could Impact Success –*** Any competitive procurement brings with it a number of risks. These risks are influenced both by forces within the buyer's control (e.g., specifications and traceability within subsequent contract) and those outside the buyer's control (e.g., market forces). These dynamics could result in unfavorable variances in scope of functionality, schedule, and cost.
- ***Built-in Best Practices May Improve Efficiency and Effectiveness –*** A commercial CMS will have been constructed based on the best practices of the CMS vendor's clientele and the combined experience of its subject matter experts. This approach may help the Superior Courts find improved ways of doing business. However, there may be instances where "generalism" is not a benefit to the courts and the system must be bent to support Washington-specific needs. The system must be able to adopt these practices without major customization.
- ***Built-in Configurability Introduces Flexibility and a Management Responsibility –*** Commercial CMSs are designed to support use in multiple jurisdictions without large-scale customization; as a result, they are designed to be highly configurable to meet the differing needs of individual courts. System configuration will need to be managed in coordination with policies, procedures, programming, and help desk support.
- ***User Acceptance May Be Discouraged by Change –*** Based on project activities to date, the intended user community has been vocal in its desire to ensure that the selected solution does not create additional work for users. Changes in business processes, while perhaps more efficient in the long term, may initially be viewed as inefficiencies, resulting in resistance to system adoption.
- ***Division of Labor Is Likely to Change to Deliver New Efficiencies –*** The division of labor between court and clerk staff in Washington is a significant issue. None of the commercial CMSs have been designed with Washington's specific division of labor in mind. The roles of each participant must be clearly articulated as part of procurement and considered in the selection, configuration, and implementation efforts. All parties

should consider their roles and how they may reasonably change for the better under a new CMS.

2. Technical Impact

Given the commercial CMS alternative's general alignment with the AOC EA, the technical impact of this alternative will be relatively small. As with the other alternatives, three general strategies are suggested to address the identified gaps.

ID	Strategy	Implication	Est. Cost
C	Customize Commercial Product	These gaps can be bridged through customization.	1,000 hours
U	Utilize AOC Capabilities	These gaps can be filled by leveraging or extending the existing capabilities of the AOC EA.	1,000 hours
A	Alter AOC Capabilities	These gaps can be filled by adding capabilities to the AOC EA through acquisition of additional tools.	500 hours plus license fees.

The columns of the table are defined as follows:

- *ID* – The identifier used as an abbreviation for the strategy. Relates to the Strategy column in APPENDIX D.2.
- *Strategy* – The name of the approach suggested to fill the gap.
- *Description* – A brief description of the criteria used to classify a requirement into a given strategy.
- *Est. Cost* – The estimated level of effort necessary to fulfill all requirements that can be met using the specified strategy. Level of effort to fill individual gaps is provided in APPENDIX D.2.

It is of note that the estimated cost presented above represents the total effort necessary to fill all gaps identified in the affinity analysis. As a result, a gap is defined as any function that was not provided by any single respondent. It is likely that any single solution will only have a subset of these gaps. Therefore, the numbers provided below should be considered in the high range of effort necessary to meet the system requirements. In addition to the impacts directly related to gaps found between the commercial CMS alternative and the Technical Requirements, there are a number of ways the commercial CMS alternative will impact the AOC and the courts. The following items were gathered as part of the interview process; while not quantified in terms of cost or level of effort, they are important considerations in the decision-making process.

- ***Application Scope May Conflict With the Court's Existing Applications –*** The SCMFS project has a very specific scope that excludes commonly included components (such as financials) that may be tightly integrated into some commercial CMSs. Any evaluation of a commercial CMS must take into account the cost and time necessary to alter the solution or the JIS application stack to minimize or eliminate duplication of functionality or effort among systems.
- ***Centralized Management Tools May Assist Application Management –*** A mature commercial CMS will provide a suite of management tools to JIS to support deployment and administration of the solution. These tools will assist with managing users and privileges, developing reports, developing interfaces, deploying updates, and performing

other administration tasks. A robust toolset will greatly assist JIS with solution management.

3. Organizational Impact

As noted previously, the vendor community is materially focused on and prepared to serve the courts. Adoption of the commercial CMS alternative will present a number of organizational impacts. These impacts are discussed below.

- ***Plans for Product Evolution Should Be Considered –*** In order to stay competitive in the marketplace, a commercial CMS must constantly evolve to offer new capabilities and improvements to existing capabilities. Each commercial product has a defined enhancement plan that charts product changes over the next several years. These plans indicate the vendor's alignment with the needs and plans of the Washington courts and the vendors' capacity to support the courts on an ongoing basis.
- ***Washington Courts Will Have Relatively Less Influence on the Direction of the Application's Evolution –*** The Washington courts would be one of many customers for a commercial application provider. In such a relationship there is a risk that the product's evolution diverges from the needs of the Washington courts in a way that takes the courts off of the standard maintenance and upgrade path. However, given that the Washington courts will be one of the largest customers of any commercial CMS vendor, it is much more likely that the Washington courts will some influence on the system's evolution.
- ***The Staff Resource Needs of the Washington AOC Will Change –*** Moving from a system development to system acquisition strategy calls for a change in the skill sets at the Washington AOC. Needs for application programmers will diminish. Needs for contract managers, project managers, and application integration specialists will increase.

V. Recommended Alternative

This section provides a recommended alternative based upon information gathered to date. It must be noted that the recommendation included in this section will be influenced by future planned analysis. This current recommendation takes into consideration only the analysis performed in this and previous SCMFS deliverables. While the data and analysis from this document may be used to inform the final recommendation(s) of the SCMFS project, it should not be considered to be a final recommendation.

While a recommendation at this point in the SCMFS project may be considered premature, the intent of this recommendation is not solely to name a leading or favored alternative. Rather, by providing visibility to the recommendation and rationale before the final feasibility study is published, the data gathered and analysis conducted to date may be scrutinized in order to ensure that the reasoning behind the analysis is sound and that no critical data point has been overlooked.

A. Further Considerations

As stated above, the recommendation provided in this section is based upon analysis conducted to date. There are a number of factors that have yet to be considered in order to make the final SCMFS recommendation. The final recommendation will be significantly influenced by ongoing and subsequent analysis that will be presented in following three deliverables:

- ***Migration Study (Deliverable 6) –*** The Migration Study describes a logically sequenced implementation plan for an approach that employs one of the best few product alternatives. It will include identification of impacts to legacy applications that provide similar or duplicate functionality to that provided by the best-few alternatives and include data considerations.
- ***Integration Evaluation (Deliverable 7) –*** The Integration Evaluation describes the level of independence and interdependence of the best few alternatives operating within the AOC systems environment to operate independently while integrating with AOC systems and functionality and how the alternatives would integrate with functionality provided by AOC legacy systems. The Integration Evaluation will also include data integration considerations.
- ***Feasibility Study (Deliverable 8)*** – A final Feasibility Report for the best few alternatives will be published. This document will incorporate the Requirements Gap Analysis, Integration Evaluation, and Migration Strategy with updates.

Each of these documents will provide analysis on each alternative that will serve to inform the final recommendation included in the Feasibility Study Report.

B. Recommendation

Based solely upon the information included in this document and project activities to date, the commercial CMS alternative is recommended. In general, the rationale for this recommendation is that the commercial CMS alternative provides a greater degree of alignment with JISC strategies as defined in the IT strategic plan. The following subsections describe that major points in the rationale for this recommendation.

1. Need for Custom Application Development

Of the three alternatives considered in the Requirements Gap Analysis, the commercial alternatives require much less application development than the LINX alternative. The level of development required for bridging gaps for the CMS and the limited scope calendaring and case flow management application are comparable.

While some vendors may propose a co-development approach to providing the desired system, these vendors will remain the primary development resource and bring seasoned software engineering practices the engagement. This will allow JIS to serve as project management and not dedicate its own development resources to a large-scale development effort. Additionally, there are a number of vendors who will propose mature systems that require relatively little custom development to support the needs of the Superior Courts. The JISC will have the ability to weigh its options in the commercial CMS market to ensure that this strategy is followed.

In contrast to the commercial options, the many fundamental changes planned for LINX make it a full-scale development effort, which is in direct conflict with JISC strategy. While the plan to share resources with Pierce County does reduce the level of effort that will be needed from the AOC to migrate LINX, the characteristics of a development project and the risks associated with software development remain. In addition, the lack of existing system documentation, necessity to de-couple currently integrated application components, requirements to support a multiple-court user community, and new functionality requested by the Washington courts all add a significant degree of complexity to the migration effort that LINX would require.

2. Application Development, Deployment, and Support Organization

The implementation of an application for the Superior Courts across Washington will require an effective application development, implementation, and support organization. The better structured and well established this organization is, the more likely it is that the implementation will succeed. The LINX alternative would require Pierce County and the AOC to design and establish this type of organization in a rather short time period. As noted above, this organization would blend key Pierce County experts on the LINX system with resources funded by and provided directly by the AOC. The organizational agreements and the operational plans and procedures would need to be in place and fully functional by January, 2012 to meet initial project timelines. This would be difficult to accomplish, and the resulting organization would lack experience and proven practices.

The calendaring and case management alternative is supported by a readily available application development, implementation, and support organization with an implementation track record. However, this market is relatively limited with very few vendors that can provide these resources.

The CMS alternative is supported by a number of application development, implementation, and support organizations that operate in the court market. They offer the resources and services required and are fairly well established in their practices. This market is relatively deep, with three to five strong providers. The CMS alternative provides the strongest choice for application development, implementation, and support organization.

3. Alignment With AOC EA

Of the three alternatives considered, the commercial alternatives most closely align with the JIS enterprise architecture. The majority of commercial CMS providers that responded to the survey currently utilize technologies that align well with the JIS EA. This community has experience working collaboratively with courts and state court systems on EA management as they implement their products. The number of respondents who did not support the JIS EA was primarily noncompliant in the database area, where a minority of providers use Oracle

exclusively. While this EA component does reduce the number of compliant solutions, the reduction in numbers is not significant enough to substantially impact the market's ability to deliver a fully functional solution.

Much of the migrated LINX architecture has yet to be determined and documented. Pierce County appears to be very willing to make the design changes required to align with the AOC's EA. However, this is a work in progress with design decisions that have yet to be discovered, analyzed, made and implemented.

4. Application Ownership and Evolution

Any commercial solution that the JISC chooses will have an already-established support and development organization in place to ensure that the application remains viable and improves over time. Over the long term, commercial vendors are focused on and prepared to serve court organizations like the Washington courts and the AOC. There are several of these providers that have well-established organizations, resources, and methods for providing this support. In addition, the future of these organizations is focused on the court market and is aligned with the operational agendas of their court customers. While the AOC will not have direct ownership of a commercial product and the product's evolution may be subject to influence by the vendor's business plan or other customers, it is likely that the Superior Courts will be one of any vendor's largest customers and can expect a corresponding level of influence on the product's direction.

The LINX alternative provides the AOC with an opportunity to exert greater influence on the direction of the application employed by the Washington courts than either commercial alternative. However, once the product is implemented, the envisioned product development structure will rely upon the application's user community to invest the time and money to support the evolution of the product. In addition, Pierce County IT leadership is chartered to deliver an integrated justice solution to criminal justice agencies in the county, while the AOC must focus exclusively on the needs of the Superior Courts. This difference in focus could lead to destabilizing conflict in this newly formed organization or divergent applications over the long term.

VI. Document Approval

Reviewed by:

Title	Name	Signature	Date
Project Sponsor	Vonnie Diseth	Vonnie Diseth	4/26/2011
MTG Project Officer	Joseph Wheeler	Joseph K Wheeler	4/26/2011
AOC Project Manager	Kate Kruller	Kate Kruller	4-26-2011
MTG Project Lead	Robert Marlatt	Robert Marlatt	4-26-2011

Appendix A – List of Commercial Solution Providers Contacted

The following commercial software solution providers were contacted for this project. These vendors represent those interviewed for the Commercial Calendaring, Scheduling, and Case Flow Management alternative as well as the Commercial CMS alternative.

Contact Vendor	Contact Name	Date Contacted
Abilis Solutions, Inc.	Tom Demerson	11/28/2010
ACS Government Systems	Phil Hatton, Brian Starnes	11/28/2010
AmCad	Gary Egner, Dan Carlson	11/24/2010
The Amicus Group, Inc.	Peter T. Zackaroff	12/1/2010
Canyon Solutions, Inc.	John Barrett	11/24/2010
CaseLoad Software	Craig Keller, Darryl Evans	11/24/2010
Cott Systems, Inc.	Karey West	11/24/2010
CourtView Justice Solutions Inc.	Sue Humphreys, Kevin Bade, Dana Skemp	11/23/2010
Infocom	Louise Cook	12/1/2010
Integrated Software Specialists, Inc.	Richard Turner, Akbar M. Farook, Tom Locascio	11/24/2010
ISD Corporation	Tracy Harper, Darren Van Soye	11/24/2010
Levare Inc.	Jacob Antony	12/1/2010
LT Court Tech	Manoj Jain, Ph.D.; Victor von Klemperer	11/24/2010
New Dawn Technologies	Frank A .Felice, Marlene Martineau	11/24/2010
Pioneer Technology Group	Ryan Crowley, Chris Stewart	11/24/2010
Sustain Technologies, Inc.	David Smith	11/24/2010
Tyler Technologies, Inc.	Kyle Snowdon	11/23/2010
VistaSG Software	Ali Siscanaw	12/1/2010

Appendix B.1 – LINX Affinity to Stage 1 Business Requirements

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
FUNCTION: MANAGE CASE						
Subfunction: Initiate Case						
1	Case initiation must interact with front counter and cashiering functions to initiate the case, determine case type based on documents filed, and record filing fees in a single procedure.	302	2			
2	Case initiation activities must give the case an identifier, a description, and a case file	306.2, 312.2	2			
3	Allow for case initiation when skeletal/minimal information is entered.	303.1	2			
4	Manage case initiation into a system so information and filings (e.g., complaints, petitions) regarding the case are recorded, retained, and retrievable.		2			
5	Data entered into the system must conform to a unified data model, but must allow presentation according to locally used conventions (e.g., in case numbers, case style, or title, local jurisdiction identifiers, base case information).		2			
6	Creation of unique case numbers, either system generated, or manually assigned.	306.1-2,	2			
7	When appropriate, create, or associate an existing, juvenile referral number.	336.1-2	2			
8	Associate other unique local or agency identifiers to a case (e.g., Process Control Number/booking number).		2			
9	Associate one or more legal cases with a juvenile department referral, when applicable. If no legal case exists, create a juvenile referral upon initiation of a juvenile matter.	336.2	2			
10	Require a specific cause of action for initiation of a civil matter. Require entry of at least one charge upon initiation of a criminal or juvenile matter.	372, 376	2			
11	Manage case consolidation of two or more cases, with ability to sever the link when needed. One case may be designated as the "anchor", or "master" case.	347.1, 350	2			
12	Capturing of Judgment Information for a case (both criminal and non-criminal) is required. The information needed is Case Number, Judgment Order, Signed By, Date Signed, Number of Judgments for the case, Judgment Type (with modifier, Judgment Status, Judgment Debtor(s), Judgment Creditor(s), and ability to link Debtors to Creditors.	[Combined 775.1, 775.2, 775.3]	2			
13	Allow a Juvenile Criminal Case/Referral to be converted to an Adult Criminal Case		1	This function will require consideration in several areas: --Conversion of juvenile statutes to adult statutes where applicable. --Conversion of other case data and retention of historical case data. --Security and authorization. Recommend making this functionality desirable but not required.	D	500
14	Allow "CASE" events and documents to be scheduled and tracked without an official case being initiated.		2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
Subfunction: Case Participant Management						
15	Manage case participants on cases by adding, maintaining, removing, sealing, and expunging individual participants. Maintain the data for statistical information.	323, 590.2, 600.1-3, 603	2			
16	Manage status and status history of all participants on a case, or referral/episode, including associations and relationships between participants. Allow severing the link between parties, but retain the information for statistical information.	308, 593.1, 597.1-4, 598.1-2	2			
17	Manage parties on calendared events, the status of the party to the event, and details of any waivers of the presence of parties.	553, 754	2			
18	Manage participants on a case by their role. Some cases require specific participants based on case type and, or cause of action. Also specific events require specific participants to be involved (e.g., Protection Orders require a protected and a restrained participant). A participant may have multiple roles on the same case.	427, 591, 592	2			
19	Manage assignment of cases to participants, all history of the assignment, and or reassignment. Assignments are done individually, in a batch, randomly, and by using business rules.	545, 549.1-5	2			
20	Manage rules for adding mandatory, or default participants on cases, based on case type and cause of action.	669	2			
21	The ability to record, monitor, and track both official and unofficial participants on a case. Have unofficial participants reported as participating on a case even if only participating on one hearing.	754	2			
22	Track issued Orders and communications to unofficial participants.	754	1	The ability to track information sent from the system to any case participant is relatively simple and can be performed using case dockets and audit logs.	D	250
Subfunction: Adjudication/Disposition						
23	Capture outcome and changes of issues on a case. On a family court case, visitation, child support, etc. On a criminal case decisions on charges/allegations, including alternatives to sentences (e.g., home monitoring), and enhancement statutes applied to a sentence.	247, 236, 248.1	2			
23	Manage sentencing orders; track all modifications, and dates to the orders. Manage all sentencing information; create a complete history of additions, modifications, and deletions.	265, 267.1, 272	2			
23	Manage terms and conditions of Judicial orders, and the relationship to a charge, with the ability to analyze for statistics.	232, 252, 253, 255, 330, 331.1-3	2			
23	Manage recording one or more dispositions and resolution reasons, dates, and other data as needed. Ability to associate a disposition with an issue (e.g., violation of a sentencing order creates a probation violation {PV}), and associate some conditions with dispositions (e.g., attend classes for a PV).	229, 409, 434, 435, 664	2			
23	Data Exchange abilities between the courts and other government justice partners. (Data exchange includes data elements and documents.)		2			
23	Allow for formatted data capture related to sentencing information.		2			
Subfunction: Search Case						
29	Manage search functionality in case management to present case information results to the requestor in a desired format. Allow flexibility by user, based on role and desire.		2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
30	Ability to search for case information, and present the results in a useful and meaningful way.		2			
Subfunction: Compliance Deadline Management						
31	Manage due dates and deadlines with the ability to notify participants and court staff for specific circumstances (e.g., approaching speedy trial deadline, and statutorily required notices such as termination of support when a child becomes an adult). When motions are granted extending time on due dates, record new due dates with documents filed.	32.4-5, 39, 34.2, 44, 283, 390	2			
Subfunction: Reports & Searches						
32	Reports for case management on statistical information regarding all case activity. Report of events on cases, including future, and past due events. Other general reporting needs for support of all case management activities is needed. Various parameters, and display criteria will define how the results will be presented.	35, 36, 749	2			
33	Case index reports display an index of cases by participant name, case number, case type, and cause of action. The results returned are filtered based on user security. Multiple options on display and print functionality are needed.		2			
34	Must include at a minimum the capabilities currently supported by the SCOMIS index.		2			
35	Workload statistics need to be captured and reported on all court activity including probable cause hearings before case number has been assigned.	736	2			
36	The system must generate ticklers/alerts for stayed cases to remind superior court staff to follow up on Appealed case information	742	2			
37	The ability to search all Superior Court Appeal opinions on CLJ cases on selected subject area.	763	0	To fulfill this requirement, the system must have the ability to flag a case as an appeal from CLJ, and allow the ability to search for cases on that flag and other case characteristics. Adding such a flag should not add a significant level of complexity, and case search capability should provide adequate search functionality to support this requirement without significant additional effort.	D	250
38	The ability to track and report on the number and type of Contempt hearings held on a given case (primarily truancy, but applies to others as well).	762	2			
39	Generate reports that alert when case due dates are coming and/or passed.	SME – 1/5	2			
40	Generate report indicating when and to who notices are to be mailed	SME – 1/5	2			
41	Data Exchange with justice partners (WSP, DOH, DSHS, etc.)	774	2			
42	Information needs for tracking dependency cases as required by federal law to meet the Adoptions and Safe Families Act (ASFA) guidelines.	New	2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
Subfunction: Lifecycle/Case Flow						
43	Manage cases by case type and cause of action for case flow activities, including scheduling events and or sequences of events. Events are mandatory case events, or participant requested events. Case flow activities include identifying milestones in cases for tracking due dates, and scheduling events. Allow for entry of time standards set by statute or court rule, by case type, using the system to pre-calculate and track whether standards are met. This also includes "non case" related events.	30.1-2, 67, 80, 152, 193.1, 381, 392, 398	2			
44	Manage ticklers on cases for a variety of reasons to include notifications to court staff as well as participants.	32.5, 403	2			
45	Manage case status based on events scheduled, held, etc.; documents filed for continuances, case transfers, warrant activity, etc., and resolution of the case. Case management status is used to provide management tools for tracking pending caseload, and for accurate measurement of case processing time compared to standards.	58.1, 303.2, 312.1, 364, 365, 366, 367, 368, 412, 452, 668, 748	2			
46	Manage charges on criminal and juvenile offender matters from the original charge; any additions, deletions, and amendments. Allow multiple charges on a case, with the ability to add modifiers and enhancements to charges (e.g., Burglary with a dangerous weapon, domestic violence). This includes entry of pleas, and all outcomes, findings, and resolutions of each charge. Include the ability to see the history of all activity on charges.	231.1, 241, 373, 374, 419,	2			
47	Allow creation of Case Scheduling templates that will auto-schedule all case activities based on case type and complexity indicators	739, 746	2			
48	The system shall remove scheduled calendar dates for a case when actions cause them to be not needed.	740	2			
49	Auto generate reminders to non-Criminal case (Civil) participants of actions that most be completed to keep the case open and on track to completion.	747	2			
50	For Non-Criminal Cases, based on case type, allow case to be automatically closed if no action is taken on the case within a specified time of filing.	748	2			
51	Allow for arbitration case to automatically be converted to a civil case upon rejection of arbitration judgment.	752	2			
52	Create a link between a remanded Appeal Case and the associated Superior Court Case.	743	2			
53	Automatically migrate a civil case to an arbitration case when the arbitration path is selected.	751	2			
54	The ability to manage individual case issues for a case. This includes changing status (i.e., open to closed), tracking status, treating issues independently or as a group.	750, 767	2			
55	Allow for cases to be linked for scheduling purposes.	755	2			
56	Support full function linking of cases related by family member participation.	756, 757	1	Depending on implementation, this may require significant development to establish a unified family case type. Linking of cases should be supported as part of the initial development; a simpler "link by family participation" would require significantly less development time and would likely only the development of rules for family relationships and case relationships.	D	500

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
57	Need to manage not only cases, people, and issues, but events as well	768	2			
58	Allow for the maintenance of relationships (add, remove, modify) between a specific case type/cause type, with departments, based on locally defined rules.	5, 5.1	2			
59	Ability to Automate the closing of cases that meet certain business rules.	780	1	Given the flexibility of the intended workflow engine, it should be relatively simple to provide the ability to define the conditions under which cases may be closed automatically.	D	250
60	Flexible create on case types and usage.	779, 778, 777, 775	2			
FUNCTION: CALENDARING / SCHEDULING						
Subfunction: Schedule						
61	Maintain schedules for judicial officers for the assignment of cases. Assignment of cases can be manual or automatic based on local rules, work schedules, and recusal lists.	6, 6.1,6.2,6.3, 130, 163.1	2			
62	Assign related cases, as designated by user, to same judicial officer. Provide indicator when a case is to be schedule if the participant is related to any other party with an active case in the court and provide list of all other cases the participant is involved in statewide.	7, 517	2			
63	Allow for the ability to group related cases together and schedule them in a block with one action	16.1, 124	2			
64	When scheduling cases, identify, display, and suggest resolutions to scheduling conflicts allowing for overrides (based on appropriate security) with docketing reason for change/override recorded, who performed, and when. This includes overriding automatic scheduling decisions.	18, 19, 20, 21.1, 169, 471	2			
65	During manual scheduling activities, display all future calendar events for the case(s)	20.1	2			
66	Apply a specific change to multiple schedules for a group of cases as a single user action.	22	2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
67	Scheduling activities include:	184, 185, 186.1, 388, 503, 737				
	§ Scheduling phone conferences with participants.		2			
	§ Consolidation of pending cases.		2			
	§ Schedule recurring appointments.		2			
	§ Ability to add time standards at the beginning of scheduling of associated with a case type template.		2			
	§ Ability to reserve resources statewide.		1	The ability to deliver this requirement is dependent upon implementation details. A single statewide database will make scheduling simpler, but will make maintaining resource inventories for individual courts more complex. Multiple instances of the system will make resource management simpler, but will also make statewide resource management much more difficult.	D	500
	§ Ability to schedule events more than one year out in the future (3 years would be good).		2			
68	When assigning judges:	547, 548				
	Ability to re-assign cases from one judge to another individually or a group of cases.		2			
	Ability to confirm assigned judges calendar for openings that match the original trail date(s), so a reassigned cases is still on schedule.		2			
Subfunction: Administrative Capabilities						
69	Allow for data exchanges (to/from) related to case schedules/calendars.	New	1	The AOC enterprise architecture should provide the ability to send and receive data associated with case schedules and calendars. Effort to fulfill this requirement will be limited to the development of a standard interface for calendar data and does not present a high level of complexity.	U	500
70	Manage a list/inventory of court resources and availability.	2, 3, 539, 98, 116, 145.1	2			
71	Maintain parameters surrounding judicial calendars including relationships between judicial officers to department staff, scheduling non-court time for judicial officers.	4, 151	2			
72	Manage groups of people and other resources in an association, with the ability to schedule hearings for the association as a whole group with the ability to manage available/unavailable time for court staff (i.e. judicial officers, prosecutors, probation officers, law enforcement, etc.).	144, 150	2			
73	Record audio/video, record begin and end counter/CD/tape information when recording the outcome of the hearing held.	534	2			
74	Maintain list of attorneys and parties, by judge, for disqualification purposes to prevent assignment of cases and scheduling of hearings. Prevent scheduling of a hearing with a judicial officer that is recused on the case.	8.1, 8.2, 8.3, 14, 131, 527, 529, 158, 160	2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
75	Manage block schedules. This includes setting maximum number of events per block (with over ride ability), ability to reserve a subset of the block for specified tasks, the ability to reschedule an entire block of events at one time, ability to assign a recurring block schedule for a specific case-type or event (e.g., Theft, Arraignment) with or without assigning any resources, and creating ex parte schedules, Associate a specific site (e.g., a physical building) with a scheduled block of time and a specific judicial officer, and provide for automated backfilling as events drop off scheduling blocks. (ability to reschedule case order in a block schedule)	90, 91, 92, 129, 759, 148, 15.2, 119, 143, 173.1, 173.2, 173.3, 173.4, 181, 496, 500	2			
76	The ability to share scheduling information electronically with case participants (Police offices, Attorneys, etc.)	10	2			
77	Establish and maintain a master schedule for each judicial officer and/or courtroom within a court, lock a judicial officer's calendar for periods of time, associate judges with individual case hearings.	100, 149, 528,	2			
78	Record resource unavailable for scheduling (e.g., judicial conference, working on briefs, personal vacations, etc.); have fixed holidays (e.g., New Years Day) on calendar 5 years in the future at a minimum.	555, 738	2			
79	Support general calendaring/Scheduling functions such as: support scheduling for multiple courts and locations; ability to configure a calendar; set maximum number of cases for specified calendar, taking into account the length of each event.	165, 457, 468	2			
80	Manage the minimum and maximum number of cases that are assigned to a block schedule and to quickly identify those blocks so the scheduled cases may be cancelled and rescheduled if appropriate.	93, 94.1, 15.1	2			
81	Allow for the creation of process standard (locally and statewide) with the ability to override/modify locally.	24.2, 102, 168, 502, 459	2			
82	Maintain a list of codes at the statewide and local level. This includes proceeding codes and other process/type indicators.	95, 96,	2			
83	Manage court schedule hours/rules. This includes rules that vary by case type within a court and standard working hours and designate non-working days, such as weekends and holidays, for the entire court or individuals and default that information for all judicial officers and court staff.	146, 167	2			
84	Maintain rules for the assignment of cases to judicial resources in multiple modes; to be defined locally.	118	2			
85	The ability to import/export calendar data in a common format to share/exchange with other courts or court participants (Attorneys).	470, 515	2			
86	Provide security to calendar data to allow for creation of draft/preliminary calendars and the ability to suppress inclusion of user defined confidential information in calendars.	458, 525	2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
Subfunction: Calendar						
87	Allow for the creation of case templates that will automatically schedule events based on case types and the schedule to be modified automatically based on the outcome each step of the way for the case.	12	2			
88	Provide for the creation of block schedule events with the ability to set block limits, override predefined limits, and auto back fill when events are dropped from the block schedule.	15.1, 15.2, 119, 143, 173.1, 173.2, 173.3, 173.4, 181, 496, 500	2			
89	The ability to manage individuals and resources (e.g., court room) schedules and track time utilization with comparisons to established standards, create of scheduling templates, track workload assignments (court staff and attorneys).	197, 24 145.2, 26 103, 514, 46.1, 46.2, 46.3	2			
Subfunction: Hearing Outcomes						
90	The ability to track the outcome of events/hearings (stricken, court order, continuance) other than by just notes in a docket entry. The ability to search on results for a hearing, track each cancellation and continuance (ability to report on), provide a minute entry process at time if a hearing, and the ability to see the court order issued for the event/hearing.	532.1, 135, 532.2, 537.1, 537.2	2			
91	The ability to track in detail continuance activity for a case.	135, 528	2			
92	Automation of Case Continuance activities include notify all participants, schedule new date, record reason and requestor, etc.	174.1	2			
93	Automatically update case schedules based on change of plea by defendant and record outcome of event as cancelled due to plea change.	178	2			
94	Provide real time updates to calendars and schedules based on outcomes of hearings. This includes both case schedules and entire court calendars.	23.1	2			
95	Manage case record based on modified, scheduled, and completed events as appropriate.	13	2			
Subfunction: Notifications						
96	The ability for the system to produce alerts / notices when scheduling events based on predefined criteria related to defendant's jail status/time or other critical defendant information.	772	2			
97	When given calendaring / scheduling events occur notify predefined users based on local business rules. For example, when a court resource is scheduled (projector) notify responsible party (IT Group).	32.3	1	Must maintain contact or ownership data for all court resources and assign resources to court events.	D	250
98	Generate alert when resources become unavailable after an event has been scheduled.	38	1	To fulfill this requirement, resource/inventory management capability must be created within the CMS so that if a resource becomes unavailable there is a place to note the unavailability and communicate that information to users responsible for that calendared event.	D	250
99	Prevent an event from being scheduled if resources are unavailable, with the ability to override if needed.	38 – sort of	1	Follows previous requirement - if the system is able to identify resources as unavailable, this requirement can be fulfilled relatively simply by applying business rules.	D	125
100	When scheduling events, create notifications/alerts when blocks of time are filled, when prerequisite events have not been scheduled of conducted, and when related cases have existing scheduled events.	40, 41, 64.2	2			
101	Produce warning/alert when case is filed with no scheduled next event or when displaying open/active cases with no scheduled next event.	42	2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
102	If a case is taken off a calendar, notify all participants that they are no longer needed for the case and the reason why.	551	1	Intended system architecture and rules engine, in coordination with messaging components of enterprise architecture, will allow this functionality without adding complexity to development efforts.	U	250
103	Manage distribution of calendars electronically, and to the public on the Internet where allowed by rule.	51	2			
104	Provide automatic notification to case participants when scheduled events are modified/calendar is changed.	190, 223, 228, 761, 8.5, 17	2			
105	Provide alerts/warning in the calendaring system when performing calendaring events like scheduling an event on a non-court date, adding an event to a closed calendar (allow override).	362, 475, 550	2			
106	Notices need to be delivered/sent to participants in multiple formats and sent to more than one address for a participant.	656, 31, 108, 227, 223, 549.7	2			
107	Manage recording of generated notices on a case.	17.1	2			
108	Notification need to be sent automatically and on-demand (individually or batch mode). This can be reminders of upcoming events, notices of missed events, etc. to all participants on a case (including non-case participants like parents and foster parents).	188.2, 479, 523 312.7, 549.6, 552, 460	2			
109	Notices need to be produced for case and "non-case" events/actions.	182.2	2			
110	Notify support participants (interpreters/guardians/guardians ad litem) when services are needed for a case.	554.1, 554.2	2			
111	Create ticklers for waiting cases on appeal (and other case types). Notice should be sent to court staff and participants.	764	2			
Subfunction: Reports & Searches						
112	Management reporting for scheduling activities includes:	24, 26, 46.1, 46.2, 46.3				
	§ Monitoring conformance to time standards.		2			
	§ Schedule modifications over specific periods.		2			
	§ Scheduling information by type of hearing.		2			
	§ Scheduling information by mixed hearing types and by specific periods.		2			
	§ Scheduling information by various user defined criteria.		2			
113	When printing a calendar allow it to be printed in multiple languages (Spanish, Chinese, Vietnamese, etc.).	New	1	Implementation of similar functionality would likely require either integration with an interpretation service (such as Google) or the development of report forms in each desired language and application of un-translated database information to those forms. The latter is more likely and would require a significant form design effort as well as ongoing maintenance of the report inventory over time. It will remain an issue for languages that are not based on the 26-character Basic Modern Latin Alphabet.	A	1000
114	Any creation of a new scheduled event or modification of an existing event requires a docket / case note entry indicating who, when, why.	436.2, 473, 476, 491, 495	2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
115	The ability to turn off case life cycle clock based on predefined events (i.e. case sent to appeal court).	24.3	2			
116	The ability to add or edit details on generated reports (proceedings detail) before printing/distributing.	524, 52, 49, 54	2			
117	Ability to generate reports based on canned reports (or ad hoc request) and applying filter criteria and provide selection parameters for selection of needed data.	521, 522, 189, 47.1	2			
118	Provide tickler/alert/warnings reports/screen displays to users when standards are not meet (mandated time standards), changes to calendars after they have been published, due dates for requested judicial information, pending actions that are awaiting additional information (investigations, evaluation orders) based on local and general court rules for schedules and other statutory requirements.	25, 32, 139, 262, 477	2			
119	Provide user-activated or -deactivated visual reinforcement to ensure user sees tickler message.	33	2			
120	Display proceedings for cases that are linked/consolidated together.	125	2			
121	Provide reports for staff work assignments/efforts. Includes amount of time per case, per type of case, and a history of assignments.	1, 281, 544	2			
122	Calendar must have option of showing aliases and related cases for defendant.	517	2			
123	Creation of and the Display of court calendars in multiple forms (paper, pdf, html), views (by time/day, by person/role), and including or excluding secure data (juvenile names and confidential information) [creation of public views or private views of calendars. The ability to sort calendar by any selected field used in the creation of the calendar. Ability to print calendars in central location or multiple locations in groups or individually. Ability to select the order that report is printed (i.e., proceeding order).	217, 219, 220, 464 221.2, 23 222, 224, 226.1, 226.2, 520, 519, 101, 47, 45, 55, 45.1, 53, 518	2			
124	View total settings on any calendar selected. View availability of the resources for each calendar by day, week, or month. View proceeding by selected timeframe and provide detail on the proceeding.	508, 511, 512, 557, 556	2			
125	Produce list of cases where all preliminary actions are completed (paper filed) and ready to be scheduled.	166	1	This function should be relatively simple to provide using case events and reporting capabilities.	D	20
126	Generate the appropriate notices for rescheduled and relocated blocks of events.	173.5	2			
127	Print report listing/detailing recurring appointments for court, judicial officer, or court room, etc.	186.2	2			
128	Create schedules for various persons, event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period.	28, 29	2			
129	Provide reports on events of which user should be aware (identify events coming due or overdue, periods about to expire or that are already expired) based on locally defined needs.	32.1, 32.2	2			
FUNCTION: ENTITY MANAGEMENT						
Subfunction: Party Relationships						
130	Manage family relationships which are developed to establish relationships between parties. Relationships are between actual family members (e.g., parent/child), and others (e.g., child/non family guardian).	587, 594, 595, 608.1, 627	2			
131	Manage views of statewide family relationship histories for authorized users. Relationships are managed to retain history for statistics when relationships are established, ended, or deleted.	587	1	The system should be constructed in a manner that maintains historical data rather than overwriting inactive relationships or other case-related data.	D	125

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
132	Manage specified data between parties in a personal relationship, (e.g., when an address is changed for one party in the relationship, populate the address for the party he/she resides with).	586	1	Business rules associated with interpersonal relationships and address maintenance must be developed in order to support this functionality.	D	250
133	Allow for the creation and maintenance of a recusal list for each judicial official.	8.1	2			
Subfunction: Search Party						
134	Manage searches on participants related to cases, other parties, or organizations, using multiple search option capabilities, and a variety of variables.	575	2			
Subfunction: Party Maintenance						
135	Allow representation by:					
	• attorney with an "Active" bar status.		2			
	• out of state attorneys.		1	This function should be relatively simple to provide using business rules and capturing appropriate data for out of state attorneys.	D	50
	• prosecutor's and other offices.		2			
	• pro se participant (a party is representing him/herself).		2			
136	Allow multiple attorneys to represent one participant and one attorney to represent multiple participants.		2			
137	Maintain, and display a person's family relationships including but not limited to: type of relationship, Name, Sex, Person ID, Number of aliases, Add date, Court, DOB, Resides with, and Responsible party.		2			
138	Manage true name and alias names in a relationship, with the ability to change the designation as needed. Provide the ability for one, or more alias identities, and the source of the alias information.	581, 582, 583, 585,	2			
139	Manage current data attributes of a party including the unique identifier for each, along with any alias person record.	461.2, 559, 566.2,	2			
140	Maintain and display a juvenile's social file storage information. (The social file is identified and stored according to local department business rules and is confidential and contains documents related to juvenile department contacts, and perhaps copies of legal case documents.)		2			
Subfunction: Reports & Searches						
141	Manage report generation of party/person information upon request. Include reports on alert type notifications.	461.2, 617	2			
142	Manage report generation of person/party status information upon request. Include ability for display option of information, prior to generation.	589.2, 622.2	2			
Subfunction: Administer Professional Services						
143	Manage the inventory of the social services available to case participants, including the agencies status, and current credentials.		1	This is a planned addition to the LINX system and assumes that status changes are reported to the Courts in a manual format and entered by users. If the Courts desire an automated interface, the complexity of this requirement increases significantly, as there must be an exchange with the credentialing agency to provide electronic data on the provider's status. The level of effort estimate assumes the former.	D	250

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
144	Maintain list of secondary case participants (translators, guardians, guardian ad litem, arbitrators, etc.) that includes their contact information, skill set, case participation, unique identifier.	753	2			
FUNCTION: MANAGE CASE RECORDS						
Subfunction: Docketing/Case Notes						
145	Create docket and case history entries. Also provide automatic updates to or from other modules of the system, and automatic updates to other cases, when applicable.		2			
146	Manage the ability to seal docket entries, by order of the court, with different levels of sealing determined by security access.		2			
147	Manage search capabilities for docket entries, by different methods (e.g., docket type or significant words or phrases.		2			
148	Manage event relationships in multiple levels (e.g., associate a motion for extension of time with a brief that is due, and associate the order or ruling with the motion).		1	The workflow engine intended for use in the LINX solution will allow for sub-processes, such as the one described, within workflows. Such processes may be initiated by a specific case event, such as a motion filing, and may associate documents with those events. This is new LINX functionality and will require development time to identify and implement the workflows necessary to support these processes.	D	250
149	Add Case Notes for cancelled events (automatic with manual override ability).	741	2			
Subfunction: Exhibit Management						
150	Manage tracking exhibits and evidence.		1	Exhibit management is a new functional component of LINX and will require new development. The component must provide the ability to accept evidence/exhibits, track location and location history, custody and custody history, and manage disposition of exhibits.	D	500
151	Track court orders for destruction and disposition of exhibits.		1	See response to requirement above.	D	
Subfunction: Reports & Searches						
152	Support record management functions/activities through ad hoc reporting requirements.		2			
153	Using a search function, display an index for all active and archived cases.		2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
Subfunction: Record Management						
154	Manage court proceeding recordings for indexing, access, and deletion/destruction of the records.		2			
155	Manage case notes with ability for automatic and manual creation and deletion.		2			
FUNCTION: PRE/POST-DISPOSITION SERVICES						
Subfunction: Compliance						
156	Record and track compliance on multiple conditions of sentence, pre- and post-conviction.		2			
157	Add or modify conditions associated with a referral disposition.		2			
158	Track defendant progress, case notes, probation/parole, and treatment ("bench probation" including deferrals, drug court, family treatment court).		2			
159	Provide status indicators on compliance of a defendant's outcome of his/her sentence (e.g., in compliance, not in compliance, completed all).		2			
160	Recording and monitoring of the terms of predisposition of release.		2			
161	The ability to track cases which have been diverted to specialty ("boutique") courts (e.g., management of cases and coordination between the court, treatment providers, and probation officers for adult and juvenile drug programs, mental health programs, unified family court, and domestic violence programs) and track task results.		2			
162	The ability to pass and receive data from justice partners related to sentence/order compliance.		2			
163	The ability for the system to record requirements of the judgment by person and case.		2			
Subfunction: Access to Risk Assessment Tools						
164	Access to/integration with existing tools used to perform an assessment of an individual to support monitoring terms imposed by the court. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm.		2			

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
Subfunction: Reports & Searches						
165	The ability to produce (scheduled or on demand) out of compliance reports:					
	§ Selection of cases for compliance reviews (or other hearing types).		2			
	§ Generation of automated notices.		2			
166	Notify juvenile courts of the possible eligibility of unsealing a previously sealed case based on new adult felony filing or offender adjudication on the same person.	326	1	Assuming that LINX will be developed with the ability to provide messaging based on case events or conditions, this requirement can be met relatively easily assuming a determination of specific conditions that identify the "possible eligibility" of unsealing.	D	50
167	Identify when mandatory minimum sentences have been applied on a case.	24.2	1	This function can be applied using a user-managed flag, which would be a relatively simple item to include in development. Creating business logic to identify mandatory minimums in sentencing fields and flag a sentence as such would be a considerably more complex task. The level of effort estimate assumes the former option.	D	50

Appendix B.2 – LINX Affinity to Stage 1 Technical Requirements

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
1	M	*Operating Systems* The computing environment shall operate using Z/OS, UNIX, LINUX, or Windows servers.	2			
2	M	*Database* The database shall be a relational database supporting SQL standards The application shall utilize DB2 or Microsoft SQL databases.	1	The system will be constructed in a manner that accepts both Sybase and an AOC EA-compliant database. Supporting both databases adds significant complexities in system development and management, and reduces the value a joint Pierce-AOC solution offers due to the limited use of database-specific stored procedures.	D	2000
3	M	*Industry-Standard Data Exchange Format -Compliant* The system shall adhere to industry standard data exchange format so that external applications can interpret data extracted from the solution. The data exchange mechanism shall be automated, real time, and XML based to conform to open standards.	2	The AOC integration network supports the use of NIEM-compliant data exchanges. LINX must work with the AOC EA to provide whatever data packaging and transformation that is necessary to support NIEM exchanges.	U	1000
4	M	*IIS Web Service* The interaction with the Internet shall be based on the IIS application and extended services. Communication with IIS uses the SOAP over HTTP.	2			

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
5	M	*Encryption* The solution shall support message and data encryption. For Cryptographic Modules, validated cryptography is used. A FIPS-140-2 Security Requirements For Cryptographic Modules validated cryptographic module in an approved operational mode must be used for password encryption for transmission. 128, 192, or 256-bit Advanced Encryption Standard (AES) encryption is used, with key agreement or key transport corresponding to the strength of the asymmetric key algorithms.	1	This requirement can be met relatively easily using the features of SQL Server, which conforms with the AOC EA. Sybase also provides the ability to provide encryption on the database. For message encryption, the AOC enterprise architecture must be extended to support message level encryption between systems and distributed locations.	U	120
6	M	*Scalable Solution* The solution shall be scalable to meet the needs of small, medium, and large courts.	1	In order to address this requirement, LINX designers must specify what can and cannot be configured. There must be a governance mechanism in place to determine how to manage individual configurations statewide. A critical consideration is the decision on how to deploy LINX--individual instances make unique court configuration easier, a centralized application makes management easier.	D	1000
7	M	*Security* The system shall provide a robust security facility that provides identity and access management. AOC prefers an SSO solution.	2			

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
8	M	*Transaction Audit and Logging* The system shall support audit and transaction logs.	2			
9	HD	*Application Framework* The application environment should use Microsoft .Net or Java frameworks.	1	The plan to rewrite LINX to a Java-based application supports the AOC enterprise architecture standard and will not require additional effort beyond what has already been estimated.	D	0
10	HD	*Web Application Standards-Compliant* The application environment should be compliant with Web content management standards.	0			
11	HD	*Work Flow* Work flow should be configurable through a configurable work flow engine.	1	The future vision for LINX will utilize Jboss Drools, an open source workflow engine, for business logic. This meets the workflow requirement. However, rewriting LINX using this new tool will add complexity to development. Additionally, AOC will need to become competent in the use and management of the workflow toolset. **Level of effort estimates the time needed to create this competency within AOC.**	A	1000
12	HD	*Availability* The systems should have high availability (24×7).	2			

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
13	HD	*Configurable Application* The application should be highly configurable with a minimum of customization.	1	LINX planners must determine which features of the solution must be configurable, and how individual court configuration sets will be managed. This adds a level of complexity to the development effort.	D	1000
14	HD	*High Application Integration* The solution shall be able to integrate with other applications or services and data warehouse solutions through common APIs.	1	This requirement will be met through efforts to comply with data exchange standards; as a result, additional effort to comply will not be necessary.	U	0
15	HD	*Service-Oriented Architecture (SOA)* The system should be able to adopt and extend SOA framework. A system based on SOA architecture will package functionality as a suite of interoperable services that can be used within multiple separate systems from several business domains.	1	The vision for LINX is for it to meet the SOA requirement only externally to the application. That is, the application will act as a single service rather than a package of loosely-integrated services. Full compliance with a SOA architecture would add complexity to the development effort.	D	1000
16	HD	Functionality or information that is made available to the statewide information networking hub should do so through a software interface that is separate from the systems user interface.	2			
17	HD	Functionality or information provided by the statewide networking hub should be accessed in a way that minimizes dependencies on those other systems' implementation details.	1	The AOC EA provides for a scalable, standards-based integration architecture. This approach should minimize the dependencies on other implementations, assuming that partner systems have the ability to provide NIEM-based integrations. Pierce County currently has developed this capability but has yet to implement it with the AOC.	U	0

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
18	HD	*Adherence to EA Principles* The application should support and be consistent with the AOC EA Principles.	1	LINX will use an open source architecture.	U	0
19	HD	*Seamless Integration* The proposed new architecture provides seamless integration of current and future applications as well as between centralized and local applications, creating a superior customer experience. The system should integrate with other court applications following the architectural design principles.	1	There has yet to be a decision made on the implementation and distribution strategy for LINX. The decision on whether to implement multiple instances of the application or a single, centrally-managed application will have a significant impact on the integration approach that will be required for interfaces with external agencies. Additionally, in order to maintain the IJIS environment in Pierce County, interfaces will need to be built among the "de-coupled" elements of the LINX suite of applications. Supporting this requirement does not necessarily add effort to the development, but it must be decided in order for the development to be completed.	D	0
20	HD	*Real-Time Information Networking* Supporting the goal of real-time information and business intelligence, the new technical architecture assists in establishing real-time information networking through “publish-subscribe” mechanisms that facilitate the sharing of data and dramatically reduce duplicate data entry.	1	The level of effort necessary to make publish-subscribe interfaces available depends on the scope of the interfaces that are desired by the courts. Government-to-government interfaces can be managed relatively simply due to the integration architecture intended for use in the AOC and the low number of systems that will access. If the AOC's vision is for individual case participants to subscribe to case events, the management of users and subscriptions will require considerably greater effort.	U	500

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
21	HD	*Advanced User Interface Support* The new architecture supports rolling out user interfaces to improve user productivity, to advance decision-making capabilities, and to aid in access to justice for all users. Specifically, the architecture considers two distinct areas – first, a variety of new input and output devices such as mobile phones, scanners, etc., along with the transport mechanisms that are omnipresent today, and second, portal technology.	1	Support for this requirement is a relatively low-effort task to fulfill, given the Java- and web-centric approach to LINX development.	D	250

Appendix C.1 – Commercial Calendaring, Scheduling, and Case Flow Management Affinity to Stage 1 Business Requirements

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: MANAGE CASE						
Subfunction: Initiate Case						
1	Case initiation must interact with front counter and cashiering functions to initiate the case, determine case type based on documents filed, and record filing fees in a single procedure.	302	0	The calendaring/scheduling application needs to interface with the courts' case management system (CMS) to support case initiation. Cases are initiated in the CMS.	I	1000
2	Case initiation activities must give the case an identifier, a description, and a case file	306.2, 312.2	0	See implication of requirement 1 above.	I	0
3	Allow for case initiation when skeletal/minimal information is entered.	303.1	0	See implication of requirement 1 above.	I	0
4	Manage case initiation into a system so information and filings (e.g., complaints, petitions) regarding the case are recorded, retained, and retrievable.		0	See implication of requirement 1 above.	I	0
5	Data entered into the system must conform to a unified data model, but must allow presentation according to locally used conventions (e.g., in case numbers, case style, or title, local jurisdiction identifiers, base case information).		1			0
6	Creation of unique case numbers, either system generated, or manually assigned.	306.1-2,	0	See implication of requirement 1 above.	I	0
7	When appropriate, create, or associate an existing, juvenile referral number.	336.1-2	0	See implication of requirement 1 above.	I	0
8	Associate other unique local or agency identifiers to a case (e.g., Process Control Number/booking number).		0	See implication of requirement 1 above.	I	0
9	Associate one or more legal cases with a juvenile department referral, when applicable. If no legal case exists, create a juvenile referral upon initiation of a juvenile matter.	336.2	0	See implication of requirement 1 above.	I	0
10	Require a specific cause of action for initiation of a civil matter. Require entry of at least one charge upon initiation of a criminal or juvenile matter.	372, 376	0	See implication of requirement 1 above.	I	0
11	Manage case consolidation of two or more cases, with ability to sever the link when needed. One case may be designated as the "anchor", or "master" case.	347.1, 350	0	See implication of requirement 1 above.	I	0
12	Capturing of Judgment Information for a case (both criminal and non-criminal) is required. The information needed is Case Number, Judgment Order, Signed By, Date Signed, Number of Judgments for the case, Judgment Type (with modifier, Judgment Status, Judgment Debtor(s), Judgment Creditor(s), and ability to link Debtors to Creditors.	[Combined 775.1, 775.2, 775.3]	0	See implication of requirement 1 above.	I	0
13	Allow a Juvenile Criminal Case/Referral to be converted to an Adult Criminal Case		0	See implication of requirement 1 above.	I	0
14	Allow “CASE” events and documents to be scheduled and tracked without an official case being initiated.		0	See implication of requirement 1 above.	I	0

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Case Participant Management						
15	Manage case participants on cases by adding, maintaining, removing, sealing, and expunging individual participants. Maintain the data for statistical information.	323, 590.2, 600.1-3, 603	0	The calendaring/scheduling application needs to interface with the courts' case management system to obtain party information. Case management would be used to manage participants.	I	1000
16	Manage status and status history of all participants on a case, or referral/episode, including associations and relationships between participants. Allow severing the link between parties, but retain the information for statistical information.	308, 593.1, 597.1-4, 598.1-2	0	See implication of requirement 15 above.	I	0
17	Manage parties on calendared events, the status of the party to the event, and details of any waivers of the presence of parties.	553, 754	0	See implication of requirement 15 above.	I	0
18	Manage participants on a case by their role. Some cases require specific participants based on case type and, or cause of action. Also specific events require specific participants to be involved (e.g., Protection Orders require a protected and a restrained participant). A participant may have multiple roles on the same case.	427, 591, 592	0	See implication of requirement 15 above.	I	0
19	Manage assignment of cases to participants, all history of the assignment, and or reassignment. Assignments are done individually, in a batch, randomly, and by using business rules.	545, 549.1-5	0	See implication of requirement 15 above.	I	0
20	Manage rules for adding mandatory, or default participants on cases, based on case type and cause of action.	669	0	See implication of requirement 15 above.	I	0
21	The ability to record, monitor, and track both official and unofficial participants on a case. Have unofficial participants reported as participating on a case even if only participating on one hearing.	754	0	See implication of requirement 15 above.	I	0
22	Track issued Orders and communications to unofficial participants.	754	0	See implication of requirement 15 above.	I	0
Subfunction: Adjudication/Disposition						
23	Capture outcome and changes of issues on a case. On a family court case, visitation, child support, etc. On a criminal case decisions on charges/allegations, including alternatives to sentences (e.g., home monitoring), and enhancement statutes applied to a sentence.	247, 236, 248.1	0	Adjudication/disposition would be in the domain of the docketing system or CMS. Calendaring / Scheduling would need to interface to those systems.	I	1000
23	Manage sentencing orders; track all modifications, and dates to the orders. Manage all sentencing information; create a complete history of additions, modifications, and deletions.	265, 267.1, 272	0	See implication of requirement 23 above.	I	0
23	Manage terms and conditions of Judicial orders, and the relationship to a charge, with the ability to analyze for statistics.	232, 252, 253, 255, 330, 331.1-3	0	See implication of requirement 23 above.	I	0

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
23	Manage recording one or more dispositions and resolution reasons, dates, and other data as needed. Ability to associate a disposition with an issue (e.g., violation of a sentencing order creates a probation violation {PV}), and associate some conditions with dispositions (e.g., attend classes for a PV).	229, 409, 434, 435, 664	0	See implication of requirement 23 above.	I	0
23	Data Exchange abilities between the courts and other government justice partners. (Data exchange includes data elements and documents.)		0	See implication of requirement 23 above.	I	0
23	Allow for formatted data capture related to sentencing information.		0	See implication of requirement 23 above.	I	0
Subfunction: Search Case						
29	Manage search functionality in case management to present case information results to the requestor in a desired format. Allow flexibility by user, based on role and desire.		1			
30	Ability to search for case information, and present the results in a useful and meaningful way.		1			
Subfunction: Compliance Deadline Management						
31	Manage due dates and deadlines with the ability to notify participants and court staff for specific circumstances (e.g., approaching speedy trial deadline, and statutorily required notices such as termination of support when a child becomes an adult). When motions are granted extending time on due dates, record new due dates with documents filed.	32.4-5, 39, 34.2, 44, 283, 390	1			
Subfunction: Reports & Searches						
32	Reports for case management on statistical information regarding all case activity. Report of events on cases, including future, and past due events. Other general reporting needs for support of all case management activities is needed. Various parameters, and display criteria will define how the results will be presented.	35, 36, 749	1			
33	Case index reports display an index of cases by participant name, case number, case type, and cause of action. The results returned are filtered based on user security. Multiple options on display and print functionality are needed.		1			
34	Must include at a minimum the capabilities currently supported by the SCOMIS index.		0	Information not related to calendaring/scheduling would not be reported from this application.	O	0
35	Workload statistics need to be captured and reported on all court activity including probable cause hearings before case number has been assigned.	736	0	See implication of requirement 34 above.	O	0
36	The system must generate ticklers/alerts for stayed cases to remind superior court staff to follow up on Appealed case information	742	0	See implication of requirement 34 above.	O	0

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
37	The ability to search all Superior Court Appeal opinions on CLJ cases on selected subject area.	763	0	See implication of requirement 34 above.	O	0
38	The ability to track and report on the number and type of Contempt hearings held on a given case (primarily truancy, but applies to others as well).	762	0	See implication of requirement 34 above.	O	0
39	Generate reports that alert when case due dates are coming and/or passed.	SME – 1/5	1			
40	Generate report indicating when and to who notices are to be mailed	SME – 1/5	1			
41	Data Exchange with justice partners (WSP, DOH, DSHS, etc.)	774	1			
42	Information needs for tracking dependency cases as required by federal law to meet the Adoptions and Safe Families Act (ASFA) guidelines.	New	0	See implication of requirement 34 above.	O	0
Subfunction: Lifecycle/Case flow						
43	Manage cases by case type and cause of action for case flow activities, including scheduling events and or sequences of events. Events are mandatory case events, or participant requested events. Case flow activities include identifying milestones in cases for tracking due dates, and scheduling events. Allow for entry of time standards set by statute or court rule, by case type, using the system to pre-calculate and track whether standards are met. This also includes "non case" related events.	30.1-2, 67, 80, 152, 193.1, 381, 392, 398	1			
44	Manage ticklers on cases for a variety of reasons to include notifications to court staff as well as participants.	32.5, 403	1			
45	Manage case status based on events scheduled, held, etc.; documents filed for continuances, case transfers, warrant activity, etc., and resolution of the case. Case management status is used to provide management tools for tracking pending caseload, and for accurate measurement of case processing time compared to standards.	58.1, 303.2, 312.1, 364, 365, 366, 367, 368, 412, 452, 668, 748	1			
46	Manage charges on criminal and juvenile offender matters from the original charge; any additions, deletions, and amendments. Allow multiple charges on a case, with the ability to add modifiers and enhancements to charges (e.g., Burglary with a dangerous weapon, domestic violence). This includes entry of pleas, and all outcomes, findings, and resolutions of each charge. Include the ability to see the history of all activity on charges.	231.1, 241, 373, 374, 419,	0	See implication of requirement 34 above.	O	0
47	Allow creation of Case Scheduling templates that will auto-schedule all case activities based on case type and complexity indicators	739, 746	1			
48	The system shall remove scheduled calendar dates for a case when actions cause them to be not needed.	740	1			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
49	Auto generate reminders to non-Criminal case (Civil) participants of actions that most be completed to keep the case open and on track to completion.	747	1			
50	For Non-Criminal Cases, based on case type, allow case to be automatically closed if no action is taken on the case within a specified time of filing.	748	0	See implication of requirement 34 above.	O	0
51	Allow for arbitration case to automatically be converted to a civil case upon rejection of arbitration judgment.	752	0	See implication of requirement 34 above.	O	0
52	Create a link between a remanded Appeal Case and the associated Superior Court Case.	743	0	See implication of requirement 34 above.	O	0
53	Automatically migrate a civil case to an arbitration case when the arbitration path is selected.	751	0	See implication of requirement 34 above.	O	0
54	The ability to manage individual case issues for a case. This includes changing status (i.e., open to closed), tracking status, treating issues independently or as a group.	750, 767	0	See implication of requirement 34 above.	O	0
55	Allow for cases to be linked for scheduling purposes.	755	1			
56	Support full function linking of cases related by family member participation.	756, 757	0	See implication of requirement 34 above.	O	0
57	Need to manage not only cases, people, and issues, but events as well	768	0	See implication of requirement 34 above.	O	0
58	Allow for the maintenance of relationships (add, remove, modify) between a specific case type/cause type, with departments, based on locally defined rules.	5, 5.1	0	See implication of requirement 34 above.	O	0
59	Ability to Automate the closing of cases that meet certain business rules.	780	0	See implication of requirement 34 above.	O	0
60	Flexible create on case types and usage.	779, 778, 777, 775	0	See implication of requirement 34 above.	O	0
FUNCTION: CALENDARING / SCHEDULING						
Subfunction: Schedule						
61	Maintain schedules for judicial officers for the assignment of cases. Assignment of cases can be manual or automatic based on local rules, work schedules, and recusal lists.	6, 6.1,6.2,6.3, 130, 163.1	1			
62	Assign related cases, as designated by user, to same judicial officer. Provide indicator when a case is to be schedule if the participant is related to any other party with an active case in the court and provide list of all other cases the participant is involved in statewide.	7, 517	1			
63	Allow for the ability to group related cases together and schedule them in a block with one action	16.1, 124	1			
64	When scheduling cases, identify, display, and suggest resolutions to scheduling conflicts allowing for overrides (based on appropriate security) with docketing reason for change/override recorded, who performed, and when. This includes overriding automatic scheduling decisions.	18, 19, 20, 21.1, 169, 471	1			
65	During manual scheduling activities, display all future calendar events for the case(s).	20.1	1			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
66	Apply a specific change to multiple schedules for a group of cases as a single user action.	22	1			
67	Scheduling activities include:	184, 185, 186.1, 388, 503, 737				
	§ Scheduling phone conferences with participants.		1			
	§ Consolidation of pending cases.		1			
	§ Schedule recurring appointments.		1			
	§ Ability to add time standards at the beginning of scheduling of associated with a case type template.		1			
	§ Ability to reserve resources statewide.		1			
	§ Ability to schedule events more than one year out in the future (3 years would be good).		1			
68	When assigning judges:	547, 548				
	Ability to re-assign cases from one judge to another individually or a group of cases.		1			
	Ability to confirm assigned judges calendar for openings that match the original trail date(s), so a reassigned cases is still on schedule.		1			
Subfunction: Administrative Capabilities						
69	Allow for data exchanges (to/from) related to case schedules/calendars.	New	1			
70	Manage a list/inventory of court resources and availability.	2, 3, 539, 98, 116, 145.1	1			
71	Maintain parameters surrounding judicial calendars including relationships between judicial officers to department staff, scheduling non-court time for judicial officers.	4, 151	1			
72	Manage groups of people and other resources in an association, with the ability to schedule hearings for the association as a whole group with the ability to manage available/unavailable time for court staff (i.e. judicial officers, prosecutors, probation officers, law enforcement, etc.).	144, 150	1			
73	Record audio/video, record begin and end counter/CD/tape information when recording the outcome of the hearing held.	534	0	This capability would need to be provided in another application suited to that purpose.	O	0
74	Maintain list of attorneys and parties, by judge, for disqualification purposes to prevent assignment of cases and scheduling of hearings. Prevent scheduling of a hearing with a judicial officer that is recused on the case.	8.1, 8.2, 8.3, 14, 131, 527, 529, 158, 160	1			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
75	Manage block schedules. This includes setting maximum number of events per block (with over ride ability), ability to reserve a subset of the block for specified tasks, the ability to reschedule an entire block of events at one time, ability to assign a recurring block schedule for a specific case-type or event (e.g., Theft, Arraignment) with or without assigning any resources, and creating ex parte schedules, Associate a specific site (e.g., a physical building) with a scheduled block of time and a specific judicial officer, and provide for automated backfilling as events drop off scheduling blocks. (ability to reschedule case order in a block schedule)	90, 91, 92, 129, 759, 148, 15.2, 119, 143, 173.1, 173.2, 173.3, 173.4, 181, 496, 500	1			
76	The ability to share scheduling information electronically with case participants (Police Officers, Attorneys, etc.)	10	1			
77	Establish and maintain a master schedule for each judicial officer and/or courtroom within a court, lock a judicial officer's calendar for periods of time, associate judges with individual case hearings.	100, 149, 528,	1			
78	Record resource unavailable for scheduling (e.g., judicial conference, working on briefs, personal vacations, etc.); have fixed holidays (e.g., New Years Day) on calendar 5 years in the future at a minimum.	555, 738	1			
79	Support general calendaring/Scheduling functions such as: support scheduling for multiple courts and locations; ability to configure a calendar; set maximum number of cases for specified calendar, taking into account the length of each event.	165, 457, 468	1			
80	Manage the minimum and maximum number of cases that are assigned to a block schedule and to quickly identify those blocks so the scheduled cases may be cancelled and rescheduled if appropriate.	93, 94.1, 15.1	1			
81	Allow for the creation of process standard (locally and statewide) with the ability to override/modify locally.	24.2, 102, 168, 502, 459	1			
82	Maintain a list of codes at the statewide and local level. This includes proceeding codes and other process/type indicators.	95, 96,	1			
83	Manage court schedule hours/rules. This includes rules that vary by case type within a court and standard working hours and designate non-working days, such as weekends and holidays, for the entire court or individuals and default that information for all judicial officers and court staff.	146, 167	1			
84	Maintain rules for the assignment of cases to judicial resources in multiple modes; to be defined locally.	118	0	Modifications to the calendaring/scheduling application would be required.	C	240

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
85	The ability to import/export calendar data in a common format to share/exchange with other courts or court participants (Attorneys).	470, 515	1			
86	Provide security to calendar data to allow for creation of draft/preliminary calendars and the ability to suppress inclusion of user defined confidential information in calendars.	458, 525	1			
Subfunction: Calendar						
87	Allow for the creation of case templates that will automatically schedule events based on case types and the schedule to be modified automatically based on the outcome each step of the way for the case.	12	1			
88	Provide for the creation of block schedule events with the ability to set block limits, override predefined limits, and auto back fill when events are dropped from the block schedule.	15.1, 15.2, 119, 143, 173.1, 173.2, 173.3, 173.4, 181, 496, 500	1			
89	The ability to manage individuals and resources (e.g., court room) schedules and track time utilization with comparisons to established standards, create of scheduling templates, track workload assignments (court staff and attorneys),	197, 24 145.2, 26 103, 514, 46.1, 46.2, 46.3	1			
Subfunction: Hearing Outcomes						
90	The ability to track the outcome of events/hearings (stricken, court order, continuance) other than by just notes in a docket entry. The ability to search on results for a hearing, track each cancellation and continuance (ability to report on), provide a minute entry process at time if a hearing, and the ability to see the court order issued for the event/hearing.	532.1, 135, 532.2, 537.1, 537.2	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	1000
91	The ability to track in detail continuance activity for a case.	135, 528	1			
92	Automation of Case Continuance activities include notify all participants, schedule new date, record reason and requestor, etc.	174.1	1			
93	Automatically update case schedules based on change of plea by defendant and record outcome of event as cancelled due to plea change.	178	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	0
94	Provide real time updates to calendars and schedules based on outcomes of hearings. This includes both case schedules and entire court calendars.	23.1	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	0

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
95	Manage case record based on modified, scheduled, and completed events as appropriate.	13	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	0
Subfunction: Notifications						
96	The ability for the system to produce alerts / notices when scheduling events based on predefined criteria related to defendant's jail status/time or other critical defendant information.	772	1			
97	When given calendaring / scheduling events occur notify predefined users based on local business rules. For example, when a court resource is scheduled (projector) notify responsible party (IT Group).	32.3	1			
98	Generate alert when resources become unavailable after an event has been scheduled.	38	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	0
99	Prevent an event from being scheduled if resources are unavailable, with the ability to override if needed.	38 – sort of	1			
100	When scheduling events, create notifications/alerts when blocks of time are filled, when prerequisite events have not been scheduled of conducted, and when related cases have existing scheduled events.	40, 41, 64.2	1			
101	Produce warning/alert when case is filed with no scheduled next event or when displaying open/active cases with no scheduled next event.	42	1			
102	If a case is taken off a calendar, notify all participants that they are no longer needed for the case and the reason why.	551	1			
103	Manage distribution of calendars electronically, and to the public on the Internet where allowed by rule	51	1			
104	Provide automatic notification to case participants when scheduled events are modified/calendar is changed.	190, 223, 228, 761, 8.5, 17	1			
105	Provide alerts/warning in the calendaring system when performing calendaring events like scheduling an event on a non-court date, adding an event to a closed calendar (allow override).	362, 475, 550	1			
106	Notices need to be delivered/sent to participants in multiple formats and sent to more than one address for a participant	656, 31, 108, 227, 223, 549.7	0	Modifications to the calendaring/scheduling application would be required.	C	120
107	Manage recording of generated notices on a case.	17.1	0	Modifications to the calendaring/scheduling application would be required.	C	120

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
108	Notification need to be sent automatically and on-demand (individually or batch mode). This can be reminders of upcoming events, notices of missed events, etc. to all participants on a case (including non-case participants like parents and foster parents).	188.2, 479, 523 312.7, 549.6, 552, 460	0	Modifications to the calendaring/scheduling application would be required.	C	120
109	Notices need to be produced for case and "non-case" events/actions.	182.2	0	Modifications to the calendaring/scheduling application would be required.	C	120
110	Notify support participants (interpreters/guardians/guardians ad litem) when services are needed for a case.	554.1, 554.2	0	Modifications to the calendaring/scheduling application would be required.	C	120
111	Create ticklers for waiting cases on appeal (and other case types). Notice should be sent to court staff and participants.	764	1			
Subfunction: Reports & Searches						
112	Management reporting for scheduling activities includes:	24, 26, 46.1, 46.2, 46.3				
	§ Monitoring conformance to time standards.		1			
	§ Schedule modifications over specific periods.		1			
	§ Scheduling information by type of hearing.		1			
	§ Scheduling information by mixed hearing types and by specific periods.		1			
	§ Scheduling information by various user defined criteria.		1			
113	When printing a calendar allow it to be printed in multiple languages (Spanish, Chinese, Vietnamese, etc.).	New	0	This capability would need to be provided in another application suited to that purpose.	O	0
114	Any creation of a new scheduled event or modification of an existing event requires a docket/ case note entry indicating who, when, why.	436.2, 473, 476, 491, 495	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	0
115	The ability to turn off case life cycle clock based on predefined events (i.e. case sent to appeal court).	24.3	0	This would require interoperability between docketing and calendaring/scheduling applications.	I	120
116	The ability to add or edit details on generated reports (proceedings detail) before printing/distributing.	524, 52, 49, 54	1			
117	Ability to generate reports based on canned reports (or ad hoc request) and applying filter criteria and provide selection parameters for selection of needed data.	521, 522, 189, 47.1	1			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
118	Provide tickler/alert/warnings reports/screen displays to users when standards are not meet (mandated time standards), changes to calendars after they have been published, due dates for requested judicial information, pending actions that are awaiting additional information (investigations, evaluation orders) based on local and general court rules for schedules and other statutory requirements.	25, 32, 139, 262, 477	0	Modifications to the calendaring/scheduling application would be required.	C	120
119	Provide user-activated or -deactivated visual reinforcement to ensure user sees tickler message	33	1			
120	Display proceedings for cases that are linked/consolidated together	125	1			
121	Provide reports for staff work assignments/efforts. Includes amount of time per case, per type of case, and a history of assignments.	1, 281, 544	1			
122	Calendar must have option of showing aliases and related cases for defendant.	517	0	Modifications to the calendaring/scheduling application would be required. It would require and interface with the application maintaining that data.	I	120
123	Creation of and the Display of court calendars in multiple forms (paper, pdf, html), views (by time/day, by person/role), and including or excluding secure data (juvenile names and confidential information) [creation of public views or private views of calendars. The ability to sort calendar by any selected field used in the creation of the calendar. Ability to print calendars in central location or multiple locations in groups or individually. Ability to select the order that report is printed (i.e., proceeding order)	217, 219, 220, 464 221.2, 23 222, 224, 226.1, 226.2, 520, 519, 101, 47, 45, 55, 45.1, 53, 518	1			
124	View total settings on any calendar selected. View availability of the resources for each calendar by day, week, or month. View proceeding by selected timeframe and provide detail on the proceeding.	508, 511, 512, 557, 556	1			
125	Produce list of cases where all preliminary actions are completed (paper filed) and ready to be scheduled	166	0	Modifications to the calendaring/scheduling application would be required.	C	120
126	Generate the appropriate notices for rescheduled and relocated blocks of events.	173.5	1			
127	Print report listing/detailing recurring appointments for court, judicial officer, or court room, etc.	186.2	0	Modifications to the calendaring/scheduling application would be required.	C	120

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
128	Create schedules for various persons, event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period	28, 29	1			
129	Provide reports on events of which user should be aware (identify events coming due or overdue, periods about to expire or that are already expired) based on locally defined needs.	32.1, 32.2	1			
FUNCTION: ENTITY MANAGEMENT						
Subfunction: Party Relationships						
130	Manage family relationships which are developed to establish relationships between parties. Relationships are between actual family members (e.g., parent/child), and others (e.g., child/non family guardian).	587, 594, 595, 608.1, 627	0	See implication of requirement 15 above.	I	0
131	Manage views of statewide family relationship histories for authorized users. Relationships are managed to retain history for statistics when relationships are established, ended, or deleted.	587,	0	See implication of requirement 15 above.	I	0
132	Manage specified data between parties in a personal relationship, (e.g., when an address is changed for one party in the relationship, populate the address for the party he/she resides with).	586	0	See implication of requirement 15 above.	I	0
133	Allow for the creation and maintenance of a recusal list for each judicial official.	8.1	1			
Subfunction: Search Party						
134	Manage searches on participants related to cases, other parties, or organizations, using multiple search option capabilities, and a variety of variables.	575	1			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Party Maintenance						
135	Allow representation by:					
	• attorney with an "Active" bar status.		0	See implication of requirement 15 above.	I	0
	• out of state attorneys.		0	See implication of requirement 15 above.	I	0
	• prosecutor's and other offices.		0	See implication of requirement 15 above.	I	0
	• pro se participant (a party is representing him/herself).		0	See implication of requirement 15 above.	I	0
136	Allow multiple attorneys to represent one participant and one attorney to represent multiple participants.		0	See implication of requirement 15 above.	I	0
137	Maintain, and display a person's family relationships including but not limited to type of relationship, Name, Sex, Person ID, Number of aliases, Add date, Court, DOB, Resides with, and Responsible party.		0	See implication of requirement 15 above.	I	120
138	Manage true name and alias names in a relationship, with the ability to change the designation as needed. Provide the ability for one, or more alias identities, and the source of the alias information.	581, 582, 583, 585,	0	See implication of requirement 15 above.	I	0
139	Manage current data attributes of a party including the unique identifier for each, along with any alias person record.	461.2, 559, 566.2,	0	See implication of requirement 15 above.	I	0
140	Maintain and display a juvenile's social file storage information. (The social file is identified and stored according to local department business rules and is confidential and contains documents related to juvenile department contacts, and perhaps copies of legal case documents.)		0	See implication of requirement 15 above.	I	120
Subfunction: Reports & Searches						
141	Manage report generation of party/person information upon request. Include reports on alert type notifications.	461.2, 617	0	See implication of requirement 15 above.	I	120
142	Manage report generation of person/party status information upon request. Include ability for display option of information, prior to generation.	589.2, 622.2	0	See implication of requirement 15 above.	I	0
Subfunction: Administer Professional Services						
143	Manage the inventory of the social services available to case participants, including the agencies status, and current credentials.		0	See implication of requirement 15 above.	I	120
144	Maintain list of secondary case participants (translators, guardians, guardian ad litem, arbitrators, etc.) that includes their contact information, skill set, case participation, unique identifier.	753	0	See implication of requirement 15 above.	I	0

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: MANAGE CASE RECORDS						
Subfunction: Docketing/Case Notes						
145	Create docket and case history entries. Also provide automatic updates to or from other modules of the system, and automatic updates to other cases, when applicable.		0	Docketing/Case Notes would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	1000
146	Manage the ability to seal docket entries, by order of the court, with different levels of sealing determined by security access.		0	Docketing/Case Notes would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	0
147	Manage search capabilities for docket entries, by different methods (e.g. Docket type or significant words or phrases.		0	Docketing/Case Notes would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	0
148	Manage event relationships in multiple levels (e.g., associate a motion for extension of time with a brief that is due, and associate the order or ruling with the motion).		0	Docketing/Case Notes would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	120
149	Add Case Notes for cancelled events (automatic with manual override ability).	741	0	Docketing/Case Notes would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	0
Subfunction: Exhibit Management						
150	Manage tracking exhibits and evidence.		0	Exhibit Management would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	0
151	Track court orders for destruction and disposition of exhibits.		0	Exhibit Management would be in the domain of the docketing system or CMS. Calendaring / Scheduling would interface to those systems as needed.	I	0
Subfunction: Reports & Searches						
152	Support record management functions/activities through ad hoc reporting requirements.		0	This capability would be best provided in an enterprise reporting solution.	O	0
153	Using a search function, display an index for all active and archived cases.		0	This function is the domain of SCOMIS or its successor.	O	0
Subfunction: Record Management						
154	Manage court proceeding recordings for indexing, access, and deletion/destruction of the records.		0	This function is the domain of the docketing or CMS.	O	0
155	Manage case notes with ability for automatic and manual creation and deletion.		0	This function is the domain of the CMS.	O	0

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: PRE/POST-DISPOSITION SERVICES						
Subfunction: Compliance						
156	Record and track compliance on multiple conditions of sentence, pre- and post-conviction.		0	This function is the domain of the CMS.	O	0
157	Add or modify conditions associated with a referral disposition.		0	This function is the domain of the CMS.	O	0
158	Track defendant progress, case notes, probation/parole, and treatment ("bench probation" including deferrals, drug court, family treatment court).		0	This function is the domain of the CMS.	O	0
159	Provide status indicators on compliance of a defendant's outcome of his/her sentence (e.g., in compliance, not in compliance, completed all).		0	This function is the domain of the CMS.	O	0
160	Recording and monitoring of the terms of predisposition of release.		0	This function is the domain of the CMS.	O	0
161	The ability to track cases which have been diverted to specialty ("boutique") courts (e.g., management of cases and coordination between the court, treatment providers, and probation officers for adult and juvenile drug programs, mental health programs, unified family court, and domestic violence programs) and track task results.		0	This function is the domain of the CMS.	O	0
162	The ability to pass and receive data from justice partners related to sentence/order compliance.		0	This function is the domain of the CMS.	O	0
163	The ability for the system to record requirements of the judgment by person and case.		0	This function is the domain of the CMS.	O	0
Subfunction: Access to Risk Assessment Tools						
164	Access to/integration with existing tools used to perform an assessment of an individual to support monitoring terms imposed by the court. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm.		0	This function is the domain of the CMS.	O	0
Subfunction: Reports & Searches						
165	The ability to produce (scheduled or on demand) out of compliance reports:					
	§ Selection of cases for compliance reviews (or other hearing types).		0	This function is the domain of the CMS.	O	0
	§ Generation of automated notices.		0	This function is the domain of the CMS.	O	0
166	Notify juvenile courts of the possible eligibility of unsealing a previously sealed case based on new adult felony filing or offender adjudication on the same person.	326	0	This function is the domain of the CMS.	O	0
167	Identify when mandatory minimum sentences have been applied on a case.	24.2	0	This function is the domain of the CMS.	O	0
						7040
						5840

Appendix C.2 – Commercial Calendaring, Scheduling, and Case Flow Management Affinity to Stage 1 Technical Requirements

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
1	M	*Operating Systems* The computing environment shall operate using Z/OS, UNIX, LINUX, or Windows servers.	1			
2	M	*Database* The database shall be a relational database supporting SQL standards The application shall utilize DB2 or Microsoft SQL databases.	1			
3	M	*Industry-Standard Data Exchange Format -Compliant* The system shall adhere to industry standard data exchange format so that external applications can interpret data extracted from the solution. The data exchange mechanism shall be automated, real time, and XML based to conform to open standards.	1			
4	M	*IIS Web Service* The interaction with the Internet shall be based on the IIS application and extended services. Communication with IIS uses the SOAP over HTTP.	1			
5	M	*Encryption* The solution shall support message and data encryption. For Cryptographic Modules, validated cryptography is used. A FIPS-140-2 Security Requirements For Cryptographic Modules validated cryptographic module in an approved operational mode must be used for password encryption for transmission. 128, 192, or 256-bit Advanced Encryption Standard (AES) encryption is used, with key agreement or key transport corresponding to the strength of the asymmetric key algorithms.	1			

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
6	M	*Scalable Solution* The solution shall be scalable to meet the needs of small, medium, and large courts.	1			
7	M	*Security* The system shall provide a robust security facility that provides identity and access management. AOC prefers an SSO solution.	1			
8	M	*Transaction Audit and Logging* The system shall support audit and transaction logs.	1			
9	HD	*Application Framework* The application environment should use Microsoft .Net or Java frameworks.	1			
10	HD	*Web Application Standards-Compliant* The application environment should be compliant with Web content management standards.	1			
11	HD	*Work Flow* Work flow should be configurable through a configurable work flow engine.	1			
12	HD	*Availability* The systems should have high availability (24×7).	1			
13	HD	*Configurable Application* The application should be highly configurable with a minimum of customization.	1			

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
14	HD	*High Application Integration* The solution shall be able to integrate with other applications or services and data warehouse solutions through common APIs.	1			
15	HD	*Service-Oriented Architecture (SOA)* The system should be able to adopt and extend SOA framework. A system based on SOA architecture will package functionality as a suite of interoperable services that can be used within multiple separate systems from several business domains.	1			
16	HD	Functionality or information that is made available to the statewide information networking hub should do so through a software interface that is separate from the systems user interface.	1			
17	HD	Functionality or information provided by the statewide networking hub should be accessed in a way that minimizes dependencies on those other system's implementation details.	1			
18	HD	*Adherence to EA Principles* The application should support and be consistent with the AOC EA Principles.	1			
19	HD	*Seamless Integration* The proposed new architecture provides seamless integration of current and future applications as well as between centralized and local applications, creating a superior customer experience. The system should integrate with other court applications following the architectural design principles.	1			

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
20	HD	*Real-Time Information Networking* Supporting the goal of real-time information and business intelligence, the new technical architecture assists in establishing real-time information networking through "publish-subscribe" mechanisms that facilitate the sharing of data and dramatically reduce duplicate data entry.	0		U	
21	HD	*Advanced User Interface Support* The new architecture supports rolling out user interfaces to improve user productivity, to advance decision-making capabilities, and to aid in access to justice for all users. Specifically, the architecture considers two distinct areas – first, a variety of new input and output devices such as mobile phones, scanners, etc., along with the transport mechanisms that are omnipresent today, and second, portal technology.	0		C	

Appendix D.1 – Commercial CMS Affinity to Stage 1 Business Requirements

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: MANAGE CASE						
Subfunction: Initiate Case						
1	Case initiation must interact with front counter and cashiering functions to initiate the case, determine case type based on documents filed, and record filing fees in a single procedure.	302	3			
2	Case initiation activities must give the case an identifier, a description, and a case file.	306.2, 312.2	3			
3	Allow for case initiation when skeletal/minimal information is entered.	303.1	3			
4	Manage case initiation into a system so information and filings (e.g., complaints, petitions) regarding the case are recorded, retained, and retrievable.		3			
5	Data entered into the system must conform to a unified data model, but must allow presentation according to locally used conventions (e.g., in case numbers, case style or title, local jurisdiction identifiers, base case information).		3			
6	Creation of unique case numbers, either system generated, or manually assigned.	306.1-2,	3			
7	When appropriate, create, or associate an existing, juvenile referral number.	336.1-2	3			
8	Associate other unique local or agency identifiers to a case (e.g., Process Control Number/booking number).		3			
9	Associate one or more legal cases with a juvenile department referral, when applicable. If no legal case exists, create a juvenile referral upon initiation of a juvenile matter.	336.2	3			
10	Require a specific cause of action for initiation of a civil matter. Require entry of at least one charge upon initiation of a criminal or juvenile matter.	372, 376	3			
11	Manage case consolidation of two or more cases, with ability to sever the link when needed. One case may be designated as the "anchor", or "master" case.	347.1, 350	2	Some vendors did not allow the "un-merging" of consolidated cases and recommended using case relation or linking to perform this function in situations where un-merging may become necessary. Recommend further analysis to determine areas where cases must be consolidated (i.e., multiple cases merged and treated as a single case) versus situations where linking groups of related cases is allowable.	C	1000
12	Capturing of Judgment Information for a case (both criminal and non-criminal) is required. The information needed is Case Number, Judgment Order, Signed By, Date Signed, Number of Judgments for the case, Judgment Type (with modifier, Judgment Status, Judgment Debtor(s), Judgment Creditor(s), and ability to link Debtors to Creditors.	[Combined 775.1, 775.2, 775.3]	3			
13	Allow a Juvenile Criminal Case/Referral to be converted to an Adult Criminal Case.		0	Surveyed vendors required cases to be closed in the juvenile case type and opened in the adult case type. Recommend making this function a desirable but not required function.	C	500
14	Allow “CASE” events and documents to be scheduled and tracked without an official case being initiated.		3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Case Participant Management						
15	Manage case participants on cases by adding, maintaining, removing, sealing, and expunging individual participants. Maintain the data for statistical information.	323, 590.2, 600.1-3, 603	3			
16	Manage status and status history of all participants on a case, or referral/episode, including associations and relationships between participants. Allow severing the link between parties, but retain the information for statistical information.	308, 593.1, 597.1-4, 598.1-2	3			
17	Manage parties on calendared events, the status of the party to the event, and details of any waivers of the presence of parties.	553, 754	3			
18	Manage participants on a case by their role. Some cases require specific participants based on case type and, or cause of action. Also specific events require specific participants to be involved (e.g., Protection Orders require a protected and a restrained participant). A participant may have multiple roles on the same case.	427, 591, 592	3			
19	Manage assignment of cases to participants, all history of the assignment, and or reassignment. Assignments are done individually, in a batch, randomly, and by using business rules.	545, 549.1-5	3			
20	Manage rules for adding mandatory, or default participants on cases, based on case type and cause of action.	669	3			
21	The ability to record, monitor, and track both official and unofficial participants on a case. Have unofficial participants reported as participating on a case even if only participating on one hearing.	754	3			
22	Track issued Orders and communications to unofficial participants.	754	3			
Subfunction: Adjudication/Disposition						
23	Capture outcome and changes of issues on a case. On a family court case, visitation, child support, etc. On a criminal case decisions on charges/allegations, including alternatives to sentences (e.g., home monitoring), and enhancement statutes applied to a sentence.	247, 236, 248.1	2	All vendors assume that disposition information is relatively unique for each state and allow configuration accordingly. While this response indicates that vendors are capable of addressing this requirement, AOC should assume that a vendor CMS will not meet all disposition and sentencing information requirements out of the box. As a result, procurement documentation should provide clear information on the data to be captured in order to ensure an accurate response.	C	1000
23	Manage sentencing orders; track all modifications, and dates to the orders. Manage all sentencing information; create a complete history of additions, modifications, and deletions.	265, 267.1, 272	3			
23	Manage terms and conditions of Judicial orders, and the relationship to a charge, with the ability to analyze for statistics.	232, 252, 253, 255, 330, 331.1-3	3			
23	Manage recording one or more dispositions and resolution reasons, dates, and other data as needed. Ability to associate a disposition with an issue (e.g., violation of a sentencing order creates a probation violation {PV}), and associate some conditions with dispositions (e.g., attend classes for a PV).	229, 409, 434, 435, 664	3			
23	Data Exchange abilities between the courts and other government justice partners. (Data exchange includes data elements and documents.)		3			
23	Allow for formatted data capture related to sentencing information.		3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Search Case						
29	Manage search functionality in case management to present case information results to the requestor in a desired format. Allow flexibility by user, based on role and desire.		3			
30	Ability to search for case information, and present the results in a useful and meaningful way.		3			
Subfunction: Compliance Deadline Management						
31	Manage due dates and deadlines with the ability to notify participants and court staff for specific circumstances (e.g., approaching speedy trial deadline, and statutorily required notices such as termination of support when a child becomes an adult). When motions are granted extending time on due dates, record new due dates with documents filed.	32.4-5, 39, 34.2, 44, 283, 390	3			
Subfunction: Reports & Searches						
32	Reports for case management on statistical information regarding all case activity. Report of events on cases, including future, and past due events. Other general reporting needs for support of all case management activities is needed. Various parameters, and display criteria will define how the results will be presented.	35, 36, 749	3			
33	Case index reports display an index of cases by participant name, case number, case type, and cause of action. The results returned are filtered based on user security. Multiple options on display and print functionality are needed.		3			
34	Must include at a minimum the capabilities currently supported by the SCOMIS index		3			
35	Workload statistics need to be captured and reported on all court activity including probable cause hearings before case number has been assigned.	736	3			
36	The system must generate ticklers/alerts for stayed cases to remind superior court staff to follow up on Appealed case information.	742	3			
37	The ability to search all Superior Court Appeal opinions on CLJ cases on selected subject area.	763	3			
38	The ability to track and report on the number and type of Contempt hearings held on a given case (primarily truancy, but applies to others as well).	762	3			
39	Generate reports that alert when case due dates are coming and/or passed.	SME – 1/5	3			
40	Generate report indicating when and to who notices are to be mailed.	SME – 1/5	3			
41	Data Exchange with justice partners (WSP, DOH, DSHS, etc.).	774	3			
42	Information needs for tracking dependency cases as required by federal law to meet the Adoptions and Safe Families Act (ASFA) guidelines.	New	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Lifecycle/Case flow						
43	Manage cases by case type and cause of action for case flow activities, including scheduling events and or sequences of events. Events are mandatory case events, or participant requested events. Case flow activities include identifying milestones in cases for tracking due dates, and scheduling events. Allow for entry of time standards set by statute or court rule, by case type, using the system to pre-calculate and track whether standards are met. This also includes "non case" related events.	30.1-2, 67, 80, 152, 193.1, 381, 392, 398	3			
44	Manage ticklers on cases for a variety of reasons to include notifications to court staff as well as participants.	32.5, 403	3			
45	Manage case status based on events scheduled, held, etc.; documents filed for continuances, case transfers, warrant activity, etc., and resolution of the case. Case management status is used to provide management tools for tracking pending caseload, and for accurate measurement of case processing time compared to standards.	58.1, 303.2, 312.1, 364, 365, 366, 367, 368, 412, 452, 668, 748	3			
46	Manage charges on criminal and juvenile offender matters from the original charge; any additions, deletions, and amendments. Allow multiple charges on a case, with the ability to add modifiers and enhancements to charges (e.g., Burglary with a dangerous weapon, domestic violence). This includes entry of pleas, and all outcomes, findings, and resolutions of each charge. Include the ability to see the history of all activity on charges.	231.1, 241, 373, 374, 419,	3			
47	Allow creation of Case Scheduling templates that will auto-schedule all case activities based on case type and complexity indicators.	739, 746	3			
48	The system shall remove scheduled calendar dates for a case when actions cause them to be not needed.	740	3			
49	Auto generate reminders to non-Criminal case (Civil) participants of actions that must be completed to keep the case open and on track to completion.	747	3			
50	For Non-Criminal Cases, based on case type, allow case to be automatically closed if no action is taken on the case within a specified time of filing.	748	3			
51	Allow for arbitration case to automatically be converted to a civil case upon rejection of arbitration judgment.	752	3			
52	Create a link between a remanded Appeal Case and the associated Superior Court Case.	743	3			
53	Automatically migrate a civil case to an arbitration case when the arbitration path is selected.	751	3			
54	The ability to manage individual case issues for a case. This includes changing status (i.e., open to closed), tracking status, treating issues independently or as a group.	750, 767	3			
55	Allow for cases to be linked for scheduling purposes.	755	3			
56	Support full function linking of cases related by family member participation.	756, 757	3			
57	Need to manage not only cases, people, and issues, but events as well	768	3			
58	Allow for the maintenance of relationships (add, remove, modify) between a specific case type/cause type, with departments, based on locally defined rules.	5, 5.1	3			
59	Ability to Automate the closing of cases that meet certain business rules.	780	3			
60	Flexible create on case types and usage.	779, 778, 777, 775	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: CALENDARING / SCHEDULING						
Subfunction: Schedule						
61	Maintain schedules for judicial officers for the assignment of cases. Assignment of cases can be manual or automatic based on local rules, work schedules, and recusal lists.	6, 6.1,6.2,6.3, 130, 163.1	3			
62	Assign related cases, as designated by user, to same judicial officer. Provide indicator when a case is to be schedule if the participant is related to any other party with an active case in the court and provide list of all other cases the participant is involved in statewide.	7, 517	3			
63	Allow for the ability to group related cases together and schedule them in a block with one action.	16.1, 124	2	All vendors allow cases to be related. Responses varied on the ability to schedule related cases in a block with one action. Negative responses to this requirement indicated that adding this functionality would be a relatively simple task. Recommend maintaining requirement as-is.	C	250
64	When scheduling cases, identify, display, and suggest resolutions to scheduling conflicts allowing for overrides (based on appropriate security) with docketing reason for change/override recorded, who performed, and when. This includes overriding automatic scheduling decisions.	18, 19, 20, 21.1, 169, 471	0	None of the vendors that responded indicated an ability to suggest resolutions to scheduling conflicts. The solutions will identify reasons for conflicts to the user, but it is up to the user to conduct the proper schedule search to resolve the conflict.	C	500
65	During manual scheduling activities, display all future calendar events for the case(s)	20.1	3			
66	Apply a specific change to multiple schedules for a group of cases as a single user action.	22	3			
67	Scheduling activities include:	184, 185, 186.1, 388, 503, 737				
	§ Scheduling phone conferences with participants.		3			
	§ Consolidation of pending cases.		3			
	§ Schedule recurring appointments.		3			
	§ Ability to add time standards at the beginning of scheduling of associated with a case type template.		3			
	§ Ability to reserve resources statewide.		3			
	§ Ability to schedule events more than one year out in the future (3 years would be good).		3			
68	When assigning judges:	547, 548				
	Ability to re-assign cases from one judge to another individually or a group of cases.		3			
	Ability to confirm assigned judges calendar for openings that match the original trail date(s), so a reassigned cases is still on schedule.		3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Administrative Capabilities						
69	Allow for data exchanges (to/from) related to case schedules/calendars.	New	3			
70	Manage a list/inventory of court resources and availability.	2, 3, 539, 98, 116, 145.1	3			
71	Maintain parameters surrounding judicial calendars including relationships between judicial officers to department staff, scheduling non-court time for judicial officers.	4, 151	3			
72	Manage groups of people and other resources in an association, with the ability to schedule hearings for the association as a whole group with the ability to manage available/unavailable time for court staff (i.e. judicial officers, prosecutors, probation officers, law enforcement, etc.).	144, 150	3			
73	Record audio/video, record begin and end counter/CD/tape information when recording the outcome of the hearing held.	534	0	None of the CMS vendors interviewed provide recording functionality. Most do allow digital audio files to be attached to the case and linked from the digital case file. Recommendation is to not pursue recording functionality as part of case management but to focus on the ability of the CMS to attach audio/video files from a court recording system (or other sources) to case events.	A	250
74	Maintain list of attorneys and parties, by judge, for disqualification purposes to prevent assignment of cases and scheduling of hearings. Prevent scheduling of a hearing with a judicial officer that is recused on the case.	8.1, 8.2, 8.3, 14, 131, 527, 529, 158, 160	3			
75	Manage block schedules. This includes setting maximum number of events per block (with over ride ability), ability to reserve a subset of the block for specified tasks, the ability to reschedule an entire block of events at one time, ability to assign a recurring block schedule for a specific case-type or event (e.g., Theft, Arraignment) with or without assigning any resources, and creating ex parte schedules, Associate a specific site (e.g., a physical building) with a scheduled block of time and a specific judicial officer, and provide for automated backfilling as events drop off scheduling blocks. (ability to reschedule case order in a block schedule).	90, 91, 92, 129, 759, 148, 15.2, 119, 143, 173.1, 173.2, 173.3, 173.4, 181, 496, 500	3			
76	The ability to share scheduling information electronically with case participants (Polic Officers, Attorneys, etc.)	10	3			
77	Establish and maintain a master schedule for each judicial officer and/or courtroom within a court, lock a judicial officer's calendar for periods of time, associate judges with individual case hearings.	100, 149, 528,	3			
78	Record resource unavailable for scheduling (e.g., judicial conference, working on briefs, personal vacations, etc.); have fixed holidays (e.g., New Years Day) on calendar 5 years in the future at a minimum.	555, 738	3			
79	Support general calendaring/Scheduling functions such as: support scheduling for multiple courts and locations; ability to configure a calendar; set maximum number of cases for specified calendar, taking into account the length of each event.	165, 457, 468	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
80	Manage the minimum and maximum number of cases that are assigned to a block schedule and to quickly identify those blocks so the scheduled cases may be cancelled and rescheduled if appropriate.	93, 94.1, 15.1	3			
81	Allow for the creation of process standard (locally and statewide) with the ability to override/modify locally.	24.2, 102, 168, 502, 459	3			
82	Maintain a list of codes at the statewide and local level. This includes proceeding codes and other process/type indicators.	95, 96,	3			
83	Manage court schedule hours/rules. This includes rules that vary by case type within a court and standard working hours and designate non-working days, such as weekends and holidays, for the entire court or individuals and default that information for all judicial officers and court staff.	146, 167	3			
84	Maintain rules for the assignment of cases to judicial resources in multiple modes; to be defined locally.	118	3			
85	The ability to import/export calendar data in a common format to share/exchange with other courts or court participants (Attorneys).	470, 515	3			
86	Provide security to calendar data to allow for creation of draft/preliminary calendars and the ability to suppress inclusion of user defined confidential information in calendars.	458, 525	3			
Subfunction: Calendar						
87	Allow for the creation of case templates that will automatically schedule events based on case types and the schedule to be modified automatically based on the outcome each step of the way for the case.	12	3			
88	Provide for the creation of block schedule events with the ability to set block limits, override predefined limits, and auto back fill when events are dropped from the block schedule.	15.1, 15.2, 119, 143, 173.1, 173.2, 173.3, 173.4, 181, 496, 500	3			
89	The ability to manage individuals and resources (e.g., court room) schedules and track time utilization with comparisons to established standards, create of scheduling templates, track workload assignments (court staff and attorneys).	197, 24 145.2, 26 103, 514, 46.1, 46.2, 46.3	3			
Subfunction: Hearing Outcomes						
90	The ability to track the outcome of events/hearings (stricken, court order, continuance) other than by just notes in a docket entry. The ability to search on results for a hearing, track each cancellation and continuance (ability to report on), provide a minute entry process at time if a hearing, and the ability to see the court order issued for the event/hearing.	532.1, 135, 532.2, 537.1, 537.2	3			
91	The ability to track in detail continuance activity for a case.	135, 528	3			
92	Automation of Case Continuance activities include notify all participants, schedule new date, record reason and requestor, etc.	174.1	3			
93	Automatically update case schedules based on change of plea by defendant and record outcome of event as cancelled due to plea change.	178	3			
94	Provide real time updates to calendars and schedules based on outcomes of hearings. This includes both case schedules and entire court calendars.	23.1	3			
95	Manage case record based on modified, scheduled, and completed events as appropriate.	13	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Notifications						
96	The ability for the system to produce alerts / notices when scheduling events based on predefined criteria related to defendant's jail status/time or other critical defendant information.	772	2	The implementation of this function will require integration with the records systems of state and local correctional facilities. The AOC's EA can support this integration through the use of standardized interfaces. However, the quality of the data will be impacted by the number of correctional facilities that can interface with the AOC solution. Recommend making this a low priority.	U	500
97	When given calendaring / scheduling events occur notify predefined users based on local business rules. For example, when a court resource is scheduled (projector) notify responsible party (IT Group).	32.3	2	Each of the vendors that responded have the ability to trigger actions based on case events. This requirement is a manifestation of that function. However, not all vendors have implemented this particular function. Recommend making this function desirable but not required.	C	250
98	Generate alert when resources become unavailable after an event has been scheduled.	38	3			
99	Prevent an event from being scheduled if resources are unavailable, with the ability to override if needed.	38 – sort of	2	This functionality is generally available and is on the product enhancement path for vendors who do not have this capability currently. Will require configuration and inventory management for each court location.	C	250
100	When scheduling events, create notifications/alerts when blocks of time are filled, when prerequisite events have not been scheduled of conducted, and when related cases have existing scheduled events.	40, 41, 64.2	3			
101	Produce warning/alert when case is filed with no scheduled next event or when displaying open/active cases with no scheduled next event.	42	3			
102	If a case is taken off a calendar, notify all participants that they are no longer needed for the case and the reason why.	551	2	The implementation of this function will require management of case participants' contact information and preferred means of contact. Each of the vendors that responded has the ability to trigger actions based on case events; some have yet to implement this particular functionality. For negative responses, the low priority is due to the user management aspects of the requirement.	C	500
103	Manage distribution of calendars electronically, and to the public on the Internet where allowed by rule.	51	3			
104	Provide automatic notification to case participants when scheduled events are modified/calendar is changed.	190, 223, 228, 761, 8.5, 17	2	See response to ID 102.	C	
105	Provide alerts/warning in the calendaring system when performing calendaring events like scheduling an event on a non-court date, adding an event to a closed calendar (allow override).	362, 475, 550	3			
106	Notices need to be delivered/sent to participants in multiple formats and sent to more than one address for a participant.	656, 31, 108, 227, 223, 549.7	3			
107	Manage recording of generated notices on a case.	17.1	3			
108	Notification need to be sent automatically and on-demand (individually or batch mode). This can be reminders of upcoming events, notices of missed events, etc. to all participants on a case (including non-case participants like parents and foster parents).	188.2, 479, 523 312.7, 549.6, 552, 460	3			
109	Notices need to be produced for case and "non-case" events/actions.	182.2	3			
110	Notify support participants (interpreters/guardians/guardians ad litem) when services are needed for a case.	554.1, 554.2	3			
111	Create ticklers for waiting cases on appeal (and other case types). Notice should be sent to court staff and participants.	764	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Reports & Searches						
112	Management reporting for scheduling activities includes:	24, 26, 46.1, 46.2, 46.3				
	§ Monitoring conformance to time standards.		3			
	§ Schedule modifications over specific periods.		3			
	§ Scheduling information by type of hearing.		3			
	§ Scheduling information by mixed hearing types and by specific periods.		3			
	§ Scheduling information by various user defined criteria.		3			
113	When printing a calendar allow it to be printed in multiple languages (Spanish, Chinese, Vietnamese, etc.).	New	0	None of the vendors interviewed provide translation of documents or data within the CMS. Implementation of similar functionality would likely require the development of report forms in each desired language and application of un-translated database information to those forms. This would require a significant form design effort as well as ongoing maintenance of the report inventory over time. It will remain an issue for languages that are not based on the 26-character Basic Modern Latin Alphabet.	A	500
114	Any creation of a new scheduled event or modification of an existing event requires a docket / case note entry indicating who, when, why.	436.2, 473, 476, 491, 495	3			
115	The ability to turn off case life cycle clock based on predefined events (i.e. case sent to appeal court).	24.3	3			
116	The ability to add or edit details on generated reports (proceedings detail) before printing/distributing.	524, 52, 49, 54	3			
117	Ability to generate reports based on canned reports (or ad hoc request) and applying filter criteria and provide selection parameters for selection of needed data.	521, 522, 189, 47.1	3			
118	Provide tickler/alert/warnings reports/screen displays to users when standards are not meet (mandated time standards), changes to calendars after they have been published, due dates for requested judicial information, pending actions that are awaiting additional information (investigations, evaluation orders) based on local and general court rules for schedules and other statutory requirements.	25, 32, 139, 262, 477	3			
119	Provide user-activated or -deactivated visual reinforcement to ensure user sees tickler message.	33	3			
120	Display proceedings for cases that are linked/consolidated together.	125	3			
121	Provide reports for staff work assignments/efforts. Includes amount of time per case, per type of case, and a history of assignments.	1, 281, 544	3			
122	Calendar must have option of showing aliases and related cases for defendant.	517	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
123	Creation of and the Display of court calendars in multiple forms (paper, pdf, html), views (by time/day, by person/role), and including or excluding secure data (juvenile names and confidential information) [creation of public views or private views of calendars. The ability to sort calendar by any selected field used in the creation of the calendar. Ability to print calendars in central location or multiple locations in groups or individually. Ability to select the order that report is printed (i.e., proceeding order).	217, 219, 220, 464 221.2, 23 222, 224, 226.1, 226.2, 520, 519, 101, 47, 45, 55, 45.1, 53, 518	3			
124	View total settings on any calendar selected. View availability of the resources for each calendar by day, week, or month. View proceeding by selected timeframe and provide detail on the proceeding.	508, 511, 512, 557, 556	3			
125	Produce list of cases where all preliminary actions are completed (paper filed) and ready to be scheduled.	166	3			
126	Generate the appropriate notices for rescheduled and relocated blocks of events.	173.5	3			
127	Print report listing/detailing recurring appointments for court, judicial officer, or court room, etc.	186.2	3			
128	Create schedules for various persons, event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period.	28, 29	3			
129	Provide reports on events of which user should be aware (identify events coming due or overdue, periods about to expire or that are already expired) based on locally defined needs.	32.1, 32.2	3			
FUNCTION: ENTITY MANAGEMENT						
Subfunction: Party Relationships						
130	Manage family relationships which are developed to establish relationships between parties. Relationships are between actual family members (e.g., parent/child), and others (e.g., child/non family guardian).	587, 594, 595, 608.1, 627	3			
131	Manage views of statewide family relationship histories for authorized users. Relationships are managed to retain history for statistics when relationships are established, ended, or deleted.	587,	3			
132	Manage specified data between parties in a personal relationship, (e.g., when an address is changed for one party in the relationship, populate the address for the party he/she resides with).	586	3			
133	Allow for the creation and maintenance of a recusal list for each judicial official.	8.1	3			
Subfunction: Search Party						
134	Manage searches on participants related to cases, other parties, or organizations, using multiple search option capabilities, and a variety of variables.	575	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Party Maintenance						
135	Allow representation by:					
	• attorney with an "Active" bar status.		3			
	• out of state attorneys.		3			
	• prosecutor's and other offices.		3			
	• pro se participant (a party is representing him/herself).		3			
136	Allow multiple attorneys to represent one participant and one attorney to represent multiple participants.		3			
137	Maintain, and display a person's family relationships including but not limited to typ of relationship, Name, Sex, Person ID, Number of aliases, Add date, Court, DOB, Resides with, and Responsible party.		3			
138	Manage true name and alias names in a relationship, with the ability to change the designation as needed. Provide the ability for one, or more alias identities, and the source of the alias information.	581, 582, 583, 585,	3			
139	Manage current data attributes of a party including the unique identifier for each, along with any alias person record.	461.2, 559, 566.2,	3			
140	Maintain and display a juvenile's social file storage information. (The social file is identified and stored according to local department business rules and is confidential and contains documents related to juvenile department contacts, and perhaps copies of legal case documents.)		3			
Subfunction: Reports & Searches						
141	Manage report generation of party/person information upon request. Include reports on alert type notifications.	461.2, 617	3			
142	Manage report generation of person/party status information upon request. Include ability for display option of information, prior to generation.	589.2, 622.2	3			
Subfunction: Administer Professional Services						
143	Manage the inventory of the social services available to case participants, including the agencies status, and current credentials.		0	None of the vendors interviewed provide full management of social service providers. Adding service providers and their status would be a relatively simple addition to most commercial CMSs, assuming that status changes are reported to the Courts in a manual format and entered by users. If the Courts desire an automated interface, the complexity of this requirement increases significantly, as there must be an exchange with the credentialing agency to provide electronic data on the provider's status. The level of effort estimate assumes the former. Recommend making this requirement a desirable item and evaluating vendor responses based on ability to provide or level of effort to add.	C	250
144	Maintain list of secondary case participants (translators, guardians, guardian ad litem arbitrators, etc.) that includes their contact information, skill set, case participation, unique identifier.	753	3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: MANAGE CASE RECORDS						
Subfunction: Docketing/Case Notes						
145	Create docket and case history entries. Also provide automatic updates to or from other modules of the system, and automatic updates to other cases, when applicable		3			
146	Manage the ability to seal docket entries, by order of the court, with different levels of sealing determined by security access.		3			
147	Manage search capabilities for docket entries, by different methods (e.g., docket type or significant words or phrases.		3			
148	Manage event relationships in multiple levels (e.g., associate a motion for extension of time with a brief that is due, and associate the order or ruling with the motion).		3			
149	Add Case Notes for cancelled events (automatic with manual override ability).	741	3			
Subfunction: Exhibit Management						
150	Manage tracking exhibits and evidence.		3			
151	Track court orders for destruction and disposition of exhibits.		3			
Subfunction: Reports & Searches						
152	Support record management functions/activities through ad hoc reporting requirements.		3			
153	Using a search function, display an index for all active and archived cases.		3			
Subfunction: Record Management						
154	Manage court proceeding recordings for indexing, access, and deletion/destruction of the records.		0	Vendors do not manage retention schedules for recordings or other electronic case data or files. However, vendors do provide the ability to schedule defined queries and reports based upon criteria for retention (e.g., case type, status, age, document type, etc.) and provide the ability to delete records. In order to fully implement this functionality, electronic (or media-neutral) retention schedules must be established and CMS queries must be developed that align with retention rules. The routines associated with retention and disposition rules will have to be developed specifically for AOC. Security permissions and purge processes must also be defined in order to ensure proper disposition of case information.	C	500
155	Manage case notes with ability for automatic and manual creation and deletion.		3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
FUNCTION: PRE/POST-DISPOSITION SERVICES						
Subfunction: Compliance						
156	Record and track compliance on multiple conditions of sentence, pre- and post-conviction.		3			
157	Add or modify conditions associated with a referral disposition.		3			
158	Track defendant progress, case notes, probation/parole, and treatment ("bench probation" including deferrals, drug court, family treatment court).		3			
159	Provide status indicators on compliance of a defendant's outcome of his/her sentence (e.g., in compliance, not in compliance, completed all).		2	Commercial solutions do have the ability to track dispositional conditions. However, the level of detail at which conditions are tracked is relatively low and is limited to what information is reported to the Court by external service providers. In general, commercial CMSs have the ability to track quantitative data related to sentencing (i.e., restitution, community service, compliance status). Programmatic data (e.g., details of drug/alcohol treatment and counseling) is generally not tracked except as case events or docket entries for compliance status reporting from program providers. The CMS will track judicial action that arises from compliance status.	C	250
160	Recording and monitoring of the terms of predisposition of release.		3			
161	The ability to track cases which have been diverted to specialty ("boutique") courts (e.g., management of cases and coordination between the court, treatment providers, and probation officers for adult and juvenile drug programs, mental health programs, unified family court, and domestic violence programs) and track task results.		2	Most vendors interviewed have the ability to create custom case tracks for specific court/case types, including problem-solving courts. However, given that these courts tend to vary significantly among jurisdictions, this functionality should not be considered an "out of the box" feature, as a significant amount of design and configuration will be required to implement any such court type. Recommend requiring this functionality and evaluating vendors on existing capability and level of effort necessary to deploy.	C	1000
162	The ability to pass and receive data from justice partners related to sentence/order compliance.		3			
163	The ability for the system to record requirements of the judgment by person and case.		3			

Number	Description	Detail Link	Market Affinity	Implication	Strategy	Level of Effort (Hours)
Subfunction: Access to Risk Assessment Tools						
164	Access to/integration with existing tools used to perform an assessment of an individual to support monitoring terms imposed by the court. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm.		0	Vendors do not provide this functionality out of the box. However given the existence of systems that can provide risk assessment data, retrieving and noting an individual's risk assessment status within the case management system should be a relatively minor integration issue. Adding this information to automated algorithms for sentencing or post-sentence monitoring will add complexity.	A	250
Subfunction: Reports & Searches						
165	The ability to produce (scheduled or on demand) out of compliance reports:					
	§ Selection of cases for compliance reviews (or other hearing types).		3			
	§ Generation of automated notices.		3			
166	Notify juvenile courts of the possible eligibility of unsealing a previously sealed case based on new adult felony filing or offender adjudication on the same person.	326	0	This functionality is not provided out of the box, but given the ability of COTS solutions to provide messaging based on case events, this requirement can be met assuming a determination of specific conditions that identify the "possible eligibility" of unsealing.	C	250
167	Identify when mandatory minimum sentences have been applied on a case.	24.2	0	Vendors do not provide this functionality out of the box, but it can be captured as part of disposition data relatively simply.	C	Included with requirement 23

Appendix D.2 – Commercial CMS Affinity to Stage 1 Technical Requirements

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
1	M	*Operating Systems* The computing environment shall operate using Z/OS, UNIX, LINUX, or Windows servers.	3			
2	M	*Database* The database shall be a relational database supporting SQL standards The application shall utilize DB2 or Microsoft SQL databases.	3			
3	M	*Industry-Standard Data Exchange Format -Compliant* The system shall adhere to industry standard data exchange format so that external applications can interpret data extracted from the solution. The data exchange mechanism shall be automated, real time, and XML based to conform to open standards.	3			
4	M	*IIS Web Service* The interaction with the Internet shall be based on the IIS application and extended services. Communication with IIS uses the SOAP over HTTP.	2	This is an architectural consideration. The majority of CMS vendors use IIS. Altering a solution that does not use IIS to support this requirement would be a fundamental change to the application and is not advised. Recommend examining the necessity of IIS and expressing the level of need in procurement documentation.	N/A	0

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
5	M	*Encryption* The solution shall support message and data encryption. For Cryptographic Modules, validated cryptography is used. A FIPS-140-2 Security Requirements For Cryptographic Modules validated cryptographic module in an approved operational mode must be used for password encryption for transmission. 128, 192, or 256-bit Advanced Encryption Standard (AES) encryption is used, with key agreement or key transport corresponding to the strength of the asymmetric key algorithms.	1	In most cases, the vendor responded that the solution was not capable of providing data encryption. Rather, encryption is a function of the solution's DBMS. This requirement can be met relatively easily using the features of SQL Server, which conforms with the AOC EA. For message encryption, the AOC enterprise architecture must be extended to support message level encryption between systems and distributed locations.	U	500
6	M	*Scalable Solution* The solution shall be scalable to meet the needs of small, medium, and large courts.	3			
7	M	*Security* The system shall provide a robust security facility that provides identity and access management. AOC prefers an SSO solution.	3			
8	M	*Transaction Audit and Logging* The system shall support audit and transaction logs.	2	Many applications have relatively limited audit logging capabilities that can be configured as part of implementation. Third party tools are available at relatively low cost to increase audit capability. For example, South Dakota uses a tool that costs approximately $5,000 per database.	A	500
9	HD	*Application Framework* The application environment should use Microsoft .Net or Java frameworks.	3			

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
10	HD	*Web Application Standards-Compliant* The application environment should be compliant with Web content management standards.	2			
11	HD	*Work Flow* Work flow should be configurable through a configurable work flow engine.	3			
12	HD	*Availability* The systems should have high availability (24×7).	3			
13	HD	*Configurable Application* The application should be highly configurable with a minimum of customization.	3			
14	HD	*High Application Integration* The solution shall be able to integrate with other applications or services and data warehouse solutions through common APIs.	3			
15	HD	*Service-Oriented Architecture (SOA)* The system should be able to adopt and extend SOA framework. A system based on SOA architecture will package functionality as a suite of interoperable services that can be used within multiple separate systems from several business domains.	2	The requirement for SOA is not a question of level of effort to bring a solution into compliance, as SOA is a fundamental architecture that cannot be altered within a commercial solution. Rather, this requirement is a question of the need for interoperable services and how that need impacts the commercial options available to the Courts.	N/A	0

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
16	HD	Functionality or information that is made available to the statewide information networking hub should do so through a software interface that is separate from the systems user interface.	3			
17	HD	Functionality or information provided by the statewide networking hub should be accessed in a way that minimizes dependencies on those other system's implementation details.	3			
18	HD	*Adherence to EA Principles* The application should support and be consistent with the AOC EA Principles.	3			
19	HD	*Seamless Integration* The proposed new architecture provides seamless integration of current and future applications as well as between centralized and local applications, creating a superior customer experience. The system should integrate with other court applications following the architectural design principles.	3			
20	HD	*Real-Time Information Networking* Supporting the goal of real-time information and business intelligence, the new technical architecture assists in establishing real-time information networking through "publish-subscribe" mechanisms that facilitate the sharing of data and dramatically reduce duplicate data entry.	2	In order to provide this requirement, the AOC must employ its integration network to manage subscriptions and scheduling. Complexity and level of effort in implementation of publish-subscribe mechanisms will be determined by the scope of subscribers the Courts wish to serve. Limiting publishing to specific data sets and subscribers to partner systems will reduce development and management complexity. Extending subscription capability to all potential interested parties and any system data will create complexities in development and management.	U	500

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
21	HD	*Advanced User Interface Support* The new architecture supports rolling out user interfaces to improve user productivity, to advance decision-making capabilities, and to aid in access to justice for all users. Specifically, the architecture considers two distinct areas – first, a variety of new input and output devices such as mobile phones, scanners, etc., along with the transport mechanisms that are omnipresent today, and second, portal technology.	2	This requirement will depend significantly on each individual solution's application architecture. Design and deployment of interfaces tailored to mobile devices or the use of input and output devices will likely be performed as individual projects to address the needs of a specific technology. These projects may vary significantly in scope and scale.	C	1000

Washington State Administrative Office of the Courts

Superior Court Management Feasibility Study

Migration Strategy
Version 2.6

Deliverable 6

PSC 11062 Superior Court Management Feasibility Study Project

Draft

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Document History

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I. Introduction

The Superior Court Case Management System (SC-CMS) feasibility study is being conducted in stages, and the alternatives that are assessed and the strategies being evaluated are presented for analysis in separate deliverables as they develop. The Migration Strategy is the second major analysis work product produced for the study.

The sections that follow provide an introduction to the Migration Strategy. They discuss the following:

- The purpose of the document.
- The approach of the feasibility study and how the Migration Strategy contributes to it.
- The scope of the migration study.
- The objectives of this work product.

A list of the acronyms used in this document, along with their definitions, is provided at the end of the introduction.

A. Purpose

The purpose of this deliverable is to describe the migration strategy for deploying a new SC-CMS that meets the business needs of the superior courts for calendaring; case flow management functions; participant/party information tracking; case records and relevant disposition services functions in support of judicial decision making; scheduling; and case management.

B. Approach

Washington State Administrative Office of the Courts AOC commissioned a feasibility study for improving SC-CMS in Washington State. To prepare the feasibility study, MTG Management Consultants, LLC, has assessed several alternatives, including a commercial application and a transfer application based on Pierce County's Legal Information Network Exchange (LINX) system. This Migration Strategy considers how AOC can implement a new SC-CMS, regardless of which application AOC selects, to support Washington superior court operations statewide.

The commercial application approach involves procuring and deploying a commercial vendor solution. The AOC would contract with a solution provider to provide systems implementation, integration, deployment, and ongoing support and maintenance services. The commercial solution provider would configure and customize their application to support the operational needs of the Washington superior courts. Once the application is configured, customized for Washington State, tested, and validated, AOC would deploy the application in an orderly rollout to superior courts statewide.

The transfer application alternative would use the Pierce County LINX system as a prototype. Pierce County would create an Open Source consortium that would develop a new application using modern software development tools that follow the LINX system behavior and integration principles and forms. AOC and Pierce County would extend the application to support statewide superior courts needs and multiple configuration requirements. After the application is constructed, tested, and validated, AOC would deploy the application in an orderly rollout to superior courts statewide.

The Migration Strategy considers the decisions that must be made and issues addressed once the application has been accepted for implementation in a Washington State superior court. It considers how the court-by-court implementation of the application is managed. In this regard,

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the analysis dovetails with the decision of how AOC acquires the application that is selected, without being dependent on that decision.

C. Scope

The scope of the Migration Strategy is to provide a plan for AOC to deploy an SC-CMS computer application in the 32 superior court districts that operate in Washington State. To implement a new system, the AOC, the courts, and the clerks must migrate their respective operations from the current roles, procedures, and information systems to a new operating environment. This plan identifies the components and factors that need to be considered as these agencies embark on this significant change.

The Executive Sponsor Committee developed a definition of the functional scope of the desired application. APPENDIX A – Functional Scope describes the scope for this project. This document addresses the migration strategies related to implementing that application scope.

This document addresses the plans for and the impacts to the AOC, the superior courts, clerks, and court customers that will result from the new application migration. While this document explains the full system life cycle, it is focused on the strategies and activities that support the pilot and statewide implementations of the application in the courts.

D. Migration Objectives

The overall objective of the migration effort is to implement SC-CMS in every court in a manner that makes the system most effective for each court while minimizing disruptions to court operations. There are a number of related objectives that support this:

- Providing timely and effective training to court management, judges, clerks, and staff.
- Configuring the application and the court practices to make the court most efficient and effective.
- Converting court data in a manner that:
  - Enables efficient operation of the new application.
  - Maintains accurate court records that are accessible statewide, across old and new systems.
  - Minimizes the cost of conversion to the judiciary.
- Ensuring the accuracy and integrity of the application and the converted data.
- Setting the stage for effective use of this new tool to manage ongoing change and process improvements in the courts.
- Planning and conducting an orderly implementation process that the courts can depend on.

E. Acronyms

This subsection provides definitions for acronyms used in this document.

Acronym or Term	Definition
AOC	Washington State Administrative Office of the Courts
ATJ	Access to Justice
AWC	Association of Washington Cities
AWSCA	Association of Washington Superior Court Administrators

Acronym or Term	Definition
BCE	Board for Court Education
BJA	Board for Judicial Administration
CJC	Commission on Judicial Conduct
CLJ	Courts of Limited Jurisdiction
CMS	Case Management System
COTS	Commercial Off-The-Shelf Software – commercial application software packages
DBA	Database Administrator
DIS	Department of Information Services
DMCJA	District and Municipal Court Judges' Association
DMCMA	District and Municipal Court Management Association
DOC	Department of Corrections
DOH	Department of Health
DOL	Department of Licensing
DOT	Department of Transportation
DSHS	Department of Social and Health Services
EA	Enterprise Architecture
IBM	International Business Machines
IGN	Intergovernmental Network
ISD	AOC Information Services Division
IT	Information Technology
JIS	Judicial Information System
JISC	Judicial Information Systems Committee – the customer governance council for court information systems managed by AOC
JISCR	Judicial Information System Committee Rules
JRA	Justice Reference Architecture
JSD	AOC Judicial Services Division
LINX	Legal Information Network Exchange – Pierce County integrated justice application
MOU	Memorandum of Understanding
MSD	AOC Management Services Division
OCLA	Office of Civil Legal Aid
OFM	Office of Financial Management
OPD	Office of Public Defense
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office

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Acronym or Term	Definition
RCW	Revised Code of Washington
SC-CMS	Superior Court Case Management System (new application)
SCJA	Superior Court Judges' Association.
SCMFS	Superior Court Management Feasibility Study.
SCOMIS	Superior Court Management Information System – supports Washington state superior court's business operations.
SDR	Statewide Data Repository.
SME	Subject Matter Expert.
WAJCA	Washington Association of Juvenile Court Administrators.
WAPA	Washington Association of Prosecuting Attorneys.
WASC	Washington Supreme Court.
WASPC	Washington Association of Sheriffs & Police Chiefs.
WSBA	Washington State Bar Association.
WSIPP	Washington State Institute for Public Policy.
WSP	Washington State Patrol.

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II. Proposed Solution Overview

The migration approach can be better understood when it is looked at in the various contexts in which it is being applied. These include business, organizational, functional, and technical contexts. Seeing the approach as it is applied helps to frame the migration decisions and explain the principles and priorities used in developing the migration strategy. This section describes the approach as it is used in different contexts.

A. Organizational Context

It is important to consider the organizations involved in the migration and the relationships between them. It is also important to note relationships with other entities that might be impacted by the migration. These organizations include:

- Washington courts
- Judicial Information Systems Committee (JISC)
- Superior courts
- AOC
- Other stakeholders
- Pierce County Technology Organization

1. Washington Courts

SC-CMS will serve a major component of the Washington court system. The following table shows the structure of Washington courts.

Table 1 – Washington Courts Structure

THE SUPREME COURT Six-year terms, staggered	Appeals from the court of appeals. Administers state court system.
COURT OF APPEALS Six-year terms, staggered Division I, Seattle; Division II, Tacoma Division III, Spokane	Appeals from lower courts except those in jurisdiction of the supreme court.
SUPERIOR COURT Four-year terms	• Civil matters • Domestic relations • Felony criminal cases • Juvenile matters • Appeals from courts of limited jurisdiction
COURTS OF LIMITED JURISDICTION Four-year terms District and Municipal courts	• Misdemeanor criminal cases • Traffic, non-traffic, and parking infractions • Domestic violence protection orders • Civil actions of $75,000 or less • Small claims up to $5,000

2. Superior Courts Organization

Superior courts are grouped into single or multi-county districts. Thirty-two such districts operate in Washington State. Counties with large populations usually comprise one district, while in less-populated areas a district may consist of two or more counties. A superior courthouse is located in each of Washington's 39 counties. In rural districts, judges rotate between their counties as needed. Each county courthouse has its own courtroom and staff.

A presiding judge in each county or judicial district handles specific administrative functions and acts as spokesperson for the court.

Each court employs support personnel, including:

- **Bailiff** – Responsibilities and designation of a court bailiff vary from one court to another, depending upon the needs of the court served. The bailiff's primary duties are to call the court to order, maintain order in the courtroom, and attend to the needs of jurors. In some counties, bailiffs with legal training serve as legal assistants to the judge.
- **County Clerk** – The county clerk is often an elected official (some are appointed) who maintains the court's official records and oversees all record-keeping matters pertaining to the operation of the courts. Among other things, the county clerk may be responsible for notification of jurors, maintenance of all papers and exhibits filed in cases before the court, and filing of cases for the superior court.
- **Commissioner** – Most courts employ court commissioners to ease the judges' caseload. Court commissioners are usually attorneys licensed to practice in Washington. Working under the direction of a judge, court commissioners assume many of the same powers and duties of a superior court judge. Matters heard by the court commissioner include probate, uncontested marriage dissolutions, the signing of court orders for uncontested matters, and other judicial duties as required by the judge. The state constitution limits each county to no more than three court commissioners, but additional commissioners may be appointed for family law and mental health matters.
- **Court Administrator** – Many superior courts employ court administrators. Their functions vary, depending upon the policies of the court served. Generally, the court administrator is responsible for notification of jurors, supervision of court staff, assisting the presiding judge in budget planning for the court, assignment of cases, and implementation of general court policies.
- **Juvenile Court Administrator** – The juvenile court administrator directs the local juvenile court probation program and provides general administrative support to the juvenile division of superior court. Each of the state's juvenile courts is unique in the range and diversity of programs and services it offers, although all offer some type of diagnostic and diversion services. A number of juvenile court administrators direct county-level detention programs. Judges of the superior court generally appoint the administrator; however, in a few counties, judges have transferred this responsibility to the county legislative authority.
- **Court Reporter** – Stenographic notes are taken in court by a court reporter as the record of the proceeding. Some court reporters assume additional duties as secretary to one or more judges.

3. JISC

The supreme court delegates governance of Judicial Information Systems (JISs) to the JISC. The JISC operates under state court Judicial Information System Committee Rules (JISCR) and RCW Chapter 2.68. The JISC sets policy for the JIS and approves projects and priorities. The JISC's responsibilities include:

- Setting the strategic direction for the JIS.

- Approving budgets and funding requests for the JIS.
- Determining what JIS projects will be undertaken and establishing their scope.
- Establishing JIS policies, standards, and procedures.
- Oversight of JIS projects, including:
    - Approving project plans, including phases, major milestones, and deliverables.
    - Establishing project steering committees.
    - Monitoring project progress.
    - Dealing with major project issues.

The JISC has created sub-committees for various purposes as defined in their charters. JIS sub-committees include:

- JIS Codes Committee
- Data Dissemination Committee
- Data Management Steering Committee

4. AOC and AOC Services

The mission of the Washington State AOC is to "advance the efficient and effective operation of the Washington Judicial System." Authorized by statute in 1957 (RCW 2.56), the AOC operates under the direction of the chief justice of the Washington State Supreme Court. The administrator leads AOC and oversees the four divisions listed below.

- Executive Administration provides executive management to AOC.
- Information Services Division (ISD) provides information and reliable services for Washington courts, law and justice partners, and the public to advance the efficient and effective operation of the Washington State judiciary.
- Judicial Services Division (JSD) analyzes, consults, educates, advises, and guides a decentralized court community in the development and execution of law, policy, rules, and best practices to enable Washington courts to administer justice fairly, openly, and effectively.
- Management Services Division (MSD) provides overall leadership and guidance to the state judicial branch in the areas of budget, accounting, risk management and contract development.

The AOC provides several services to the Washington courts, including information system and business support, training, and support for key judicial committees and associations. Specifically, the AOC's divisions provide the following services to the courts:

- The AOC is the primary support for judicial associations, boards, and commissions such as:
    - JISC.
    - Court of appeals.
    - Superior Court Judges' Association (SCJA).
    - District and Municipal Court Judges' Association (DMCJA).
    - Bench-Bar-Press Committee of Washington.
- AOC Administration provides the following services:
    - Board for Judicial Administration (BJA) and Justice in Jeopardy Initiative.
    - Legislative liaison for the judiciary.
- The ISD provides automation in juvenile, municipal, district, superior, and appellate courts through the JIS.
- The JSD provides services such as:
    - Support and consultation services for courts and associations.
    - Judicial education and training.

- Bench books, ethics opinions, and pattern forms.
- Public information services.
- Legal research.

5. Other Stakeholders

The superior court has many stakeholders that have vested interests in its operations and activities. APPENDIX C – Stakeholder Matrix contains a list of the internal and external organizations that have interests in court operations.

B. Business Context

The organizational context describes the organizations impacted by SC-CMS. The business context describes the nature of the roles of these organizations. This section describes the business operational context of the superior court environment and its key participants. The business context covers:

- Superior courts.
- County clerks.
- Characteristics of courts.
- AOC services.

1. Superior Courts

Superior courts are general jurisdiction courts because there is no limit on the types of civil and criminal cases that they hear. Superior courts have authority to hear cases appealed from Courts of Limited Jurisdiction (CLJs) and have exclusive jurisdiction for felony matters, real property rights, domestic relations, estate, mental illness cases, juvenile matters, and civil cases over $50,000.

Judges preside over court cases and have the power to hear and decide any civil or criminal action that some other court is not specially designated to consider. They supervise court operations, including calendaring of court events, and manage case flow in the court.

The court administrator assists the superior court judge in carrying out the administrative duties of the Court. The court administrator and staff provide support to the judges, overseeing and supervising the operation of all court programs. They ensure the smooth operation of and coordination between all units. The court administrator's staff provides assistance to ensure the day-to-day operations of the court run smoothly.

There are 32 superior court judicial districts in the 39 Washington counties. There are 189 superior court judges in the state of Washington. Superior court judges are elected on a nonpartisan basis for a 4-year term. The following chart identifies the types and volumes of cases that the superior court conducted in 2009.

Category[1]	Statewide Cases
Criminal	40,636
Civil	142,664
Domestic	39,985
Probate/Guardianship	19,409
Adoption/Paternity	10,374

[1] Washington State Courts – 2009 Caseloads of the Courts http:/www.courts.wa.gov/caseload.

Category[1]	Statewide Cases
Mental Illness/Alcohol	9,525
Juvenile Dependency	20,702
Juvenile Offender	20,360
Total Filings	303,655

The Stage 1 High-Level Business Requirement document provides an overview of the business processes and operations for each of the case types listed above.

2. Court Clerks

The county clerk is often an elected official (some are appointed) provided for by the Washington State Constitution whose responsibilities are assigned by local and state rules and statute. The county clerk serves and supports the superior court by receiving and processing court documents; attending and assisting in all court proceedings; maintaining the court's files; and entering its orders, judgments, and decrees. The clerk authenticates by certificate and/or transcript the records, and files procedures of the court. The clerk maintains the record for all felony criminal, civil, dissolution, probate, mental health, adoption, guardianship, and juvenile court proceedings. In addition to keeping all the original papers, it is mandatory that the clerk preserve and journalize all orders for security purposes. The clerk also receipts and disburses the court's money and the money of litigants, at the court's direction.

County clerks perform the following key functions and maintain the associated records.

- **Administrator of Court Records and Exhibits** – All documents filed in a superior court cause of action are processed and maintained by the clerk. The process involves assigning case numbers and judges to new cases, classifying records, computer data entry, scanning and indexing in the optical imaging system, and manual filing of hard copies.
- **Financial Officer for the Courts** – The clerk, as an agent of the court, collects statutory fees, fines, and trust funds. The clerk maintains the trust account for monies received. An accounting system, set up in accordance with the State Auditor's guidelines, is maintained for receiving and disbursing monies.
- **Quasi-judicial Officer** – As a consequence of some court orders, the clerk exercises quasi-judicial functions in connection with the issuance of writs, subpoenas, warrants, letters testamentary, etc.
- **Ex Officio Clerk of the Court** – As ex officio clerk of court, the clerk is required to be present at all court proceedings for the purpose of receiving and marking court documents and exhibits. The clerk is also tasked with creating an independent record of court proceedings.
- **Records Maintained by the County Clerk** – The Clerk's Office is responsible for maintaining the records of the superior court. These records include filings within the following case types:
    - Civil cases, which include:
        - Appeals/review from lower courts or administrative agencies
        - Contract/commercial cases
        - Property rights cases
        - Torts
        - Some types of writ petitions
        - Injunctions, interpleaders

        - Probate and guardianship cases
        - Adoption and paternity cases
        - Domestic relations cases
        - Mental illness cases
        - Dependency cases
    - Criminal felony cases
    - Juvenile offender cases

3. Characteristics of Courts

Courts serving the more populous counties of the state are larger and have more judges and a greater volume of cases than the smaller, less populated counties. The following diagram illustrates the size distribution of the superior courts. Eleven large courts represent the greatest operational volume and employ the most personnel. These counties currently invest in IT resources and have systems that they tailor for their own needs. The large courts, because of their high volume of transactions, often have specialized practices and business rules. These courts have larger budgets and deploy more IT resources.

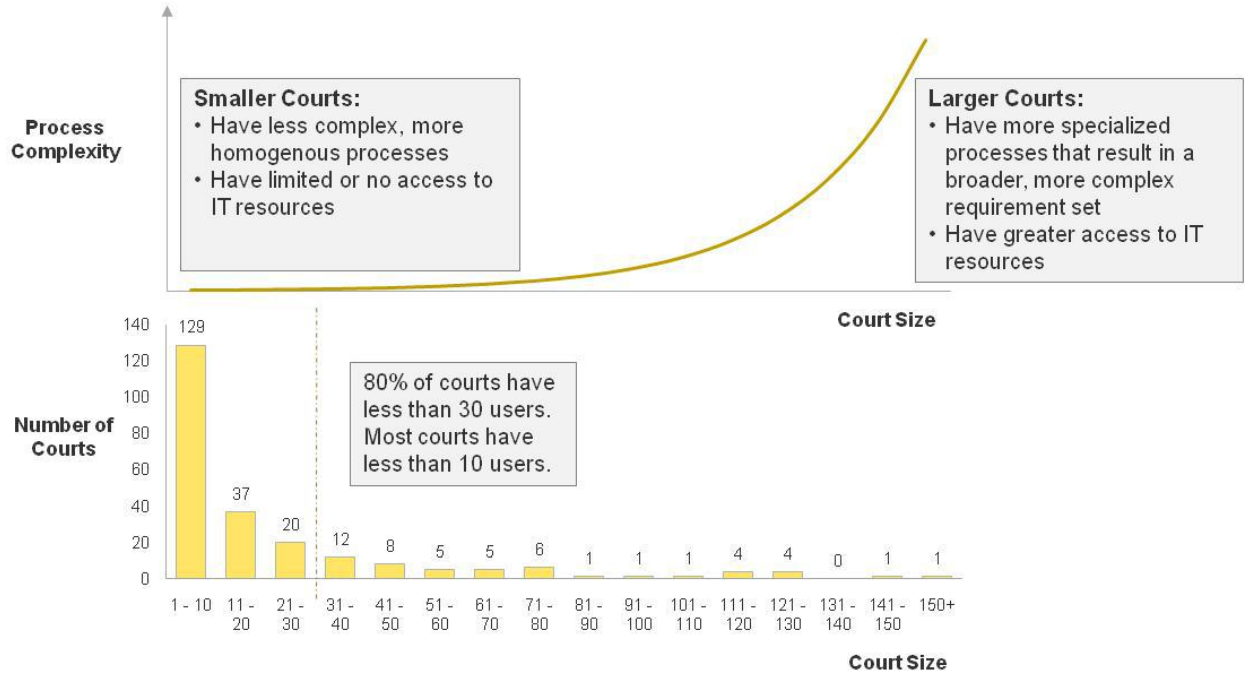

Figure 1 – Comparisons of Courts

Smaller superior courts are less complex and more susceptible to conformity and standardization to best practices. They look to AOC to provide standard statewide resources to support their business operations, since they do not have the budget to acquire their own information systems.

4. AOC Services

The AOC provides several services to the Washington courts, including information system and business support, training, and support for key judicial committees and associations. Specifically, the AOC's divisions provide the following services to the courts:

- The AOC is the primary support for judicial associations, boards, and commissions such as:

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- The ISD provides automation in juvenile, municipal, district, superior, and appellate courts through the JIS.
- The JSD provides services such as:
    - Support and consultation services for courts and associations.
    - Judicial education and training.
    - Bench books, ethics opinions, and pattern forms.
    - Public information services.
    - Legal research.

C. Functional Context

The functional scope of SC-CMS includes software applications that would meet the business needs of the superior courts for calendaring, case flow management functions, with participant/party information tracking, case records and relevant disposition services functions in support of judicial decision making, scheduling, and case management. APPENDIX A – Functional Scope provides a high-level overview of the business scope of operations of the Washington superior courts.

It is important to note that the SC-CMS application will not replace the statewide JIS database. Instead, it will integrate with the AOC Enterprise Architecture (EA) with information exchanges between the application database and the Statewide Data Repository (SDR) and other AOC applications. The application will also support interfaces either directly or through the EA services with other partner external agencies such as Washington State Patrol (WSP), Washington Department of Health (DOH), Department of Corrections (DOC), or Department of Social and Health Services (DSHS).

D. Technical Context

This section discusses the technology contexts relevant to this migration strategy. Topics include:

- AOC current technology environment
- AOC EA
- Local court technology environment
- Pierce County LINX application

1. AOC Current Technology Environment

The current AOC technical environment is described in APPENDIX B – AOC Technology Environment. The environment includes several integrated applications that share a common database. The systems operate on IBM mainframe systems that have been developed and deployed over the last 30 years. These systems have served Washington's courts well over the

course of their life. However, they are nearing the end of their life and have functional deficiencies that cause inefficient court operations.

Migrating to a new modern SC-CMS will enable AOC to upgrade their technology to use modern servers and associated systems that are cheaper to operate and provide better management capabilities than legacy information system.

2. Proposed Technology Environment

The proposed technology architecture will operate within the AOC current technology environment. The following diagram provides an overview of the proposed technology that will support the SC-CMS application.

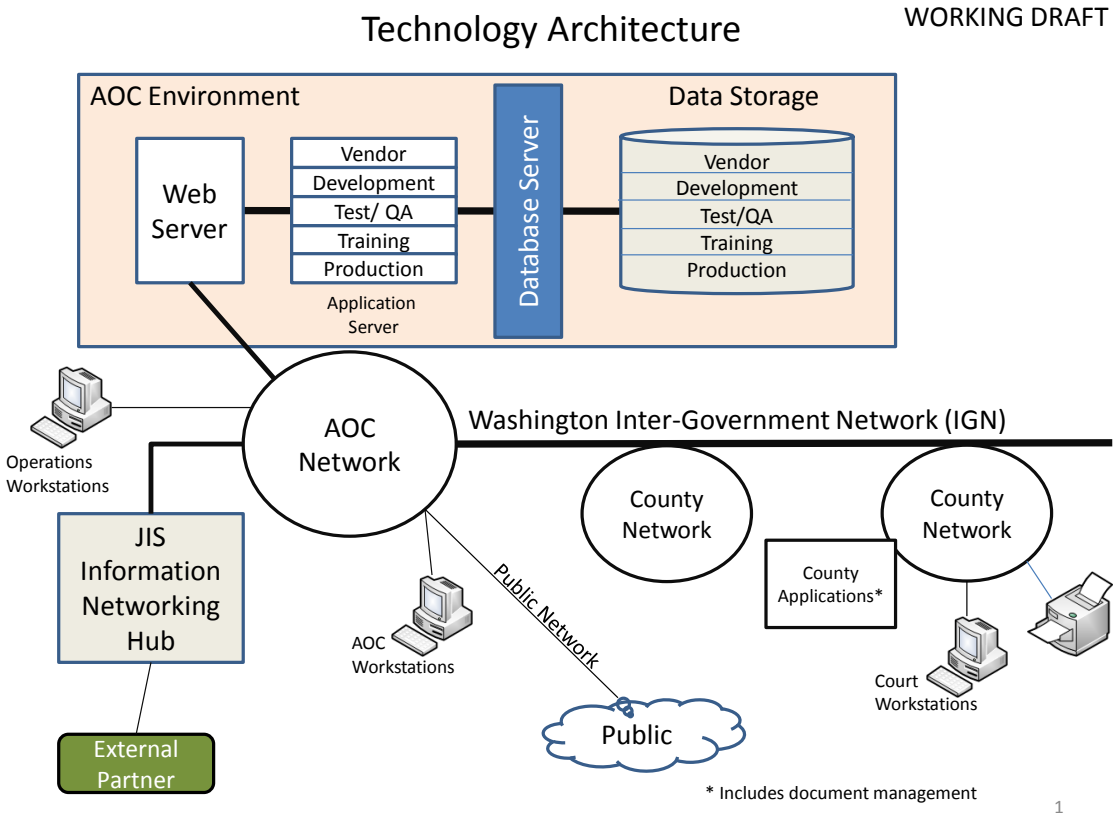

Figure 2 – Proposed Technology Overview

The components of the proposed technical architecture include:

A series of computer servers that support the SC-CMS application. The technology architecture includes a three-tier architecture. The web server manages user transactions. The application server manages the business logic. The database server manages the access and storage of data. The application will maintain several versions of the application, including a vendor-based application, a development version, a testing version, a training version, and production application. The servers will fit with AOC data center environment and will be optimized with high availability.

The application will connect to the AOC network, state Intergovernmental Network (IGN), and the county network. The court workstation accesses the AOC and county applications.

The SC-CMS application will require data exchanges with the EA central data services. The AOC needs to support statewide case data in either an SDR or through continuing to use the JIS database.

3. AOC EA

In July 2009, ISD embarked on a journey to implement an IT strategy driven by the business plan approved by the JISC. The IT strategy is designed to move ISD to a future operational state by defining the target customers and the services provided to them. The IT strategy has identified the management of the EA that supports the Washington State JIS as a key competency and result area for ISD.

EA is an IT planning, governance, and innovation function that provides technology direction to the organization (enterprise) as it progresses from its current state towards its desired future state. The Enterprise Architecture White Paper (#2010-001) presents the vision and the guiding principles for the EA and describes its composition.

AOC expects to leverage the implementation of the SC-CMS to begin constructing the EA infrastructure. A central feature of the EA is the development of a SDR that will reside in the Information Networking Data Services component of the EA, depicted in the following diagram. This statewide database of court information will enable courts to share common case and entity data (i.e., participants, attorneys, etc.). The SC-CMS will supply and consume information, through data exchanges, with the SDRs. Other judicial applications (AOC and local applications) will also exchange information with this repository.

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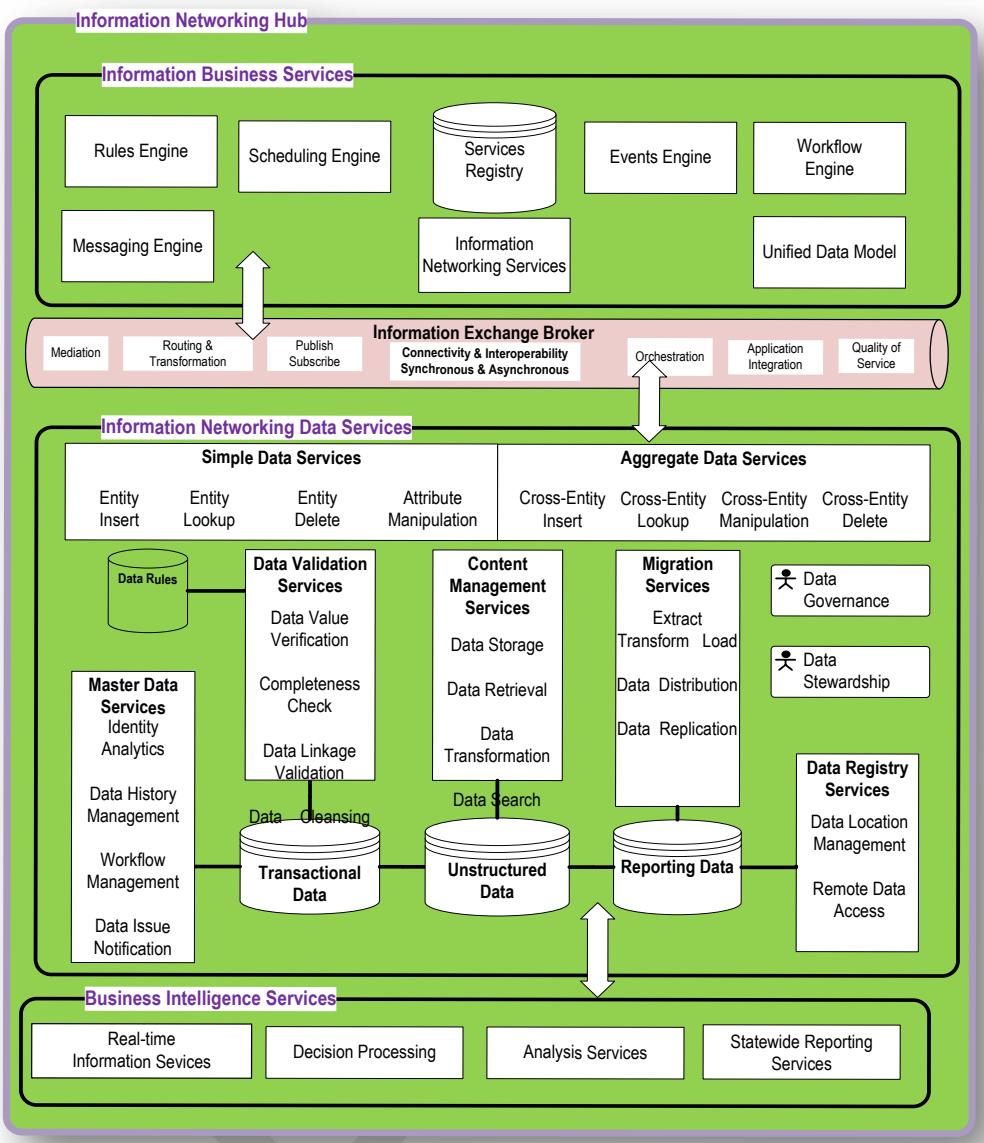

Figure 3 – EA Information Networking Hub

4. Local Court Technology Environment

Superior courts operate in county-hosted technology environments and connect to AOC systems through the statewide telecommunication network. Judges, court administrators, and court clerks operate on county Microsoft Windows workstations that connect to the county telecommunication network. These county networks connect to the statewide IGN (see APPENDIX B – AOC Technology Environment).

Most counties use the AOC applications (i.e., SCOMIS, JIS, etc.) to support their business operations. They depend on these applications and the underlying JIS database for tracking their court information.

Many courts have access to county-operated administrative systems that support personnel, payroll, and financial systems. Most counties have their own electronic mail systems and other tools that support county staff. They have Internet access that allows access to many resources, including the Washington Courts website.

Many counties have deployed court applications that support portions of their court operations. Several of the larger counties (Pierce, King, Spokane, Clark) have commercial or homegrown application that provide integrated court systems. Other counties have other single-purpose applications that support specific court functions (calendaring, probation tracking, etc.).

E. SC-CMS Application

The SC-CMS application is a computer software program that processes and stores superior court information. The application will support calendaring, case flow management functions, participant/party information tracking, case records and relevant disposition services functions in support of judicial decision making, scheduling, and case management (see APPENDIX A for the defined functional scope of the project). This modern computer application will be a business rule-driven system that is configurable for each court. It will integrate with document management systems and with other AOC services, including the EA. The application connects to a relational database that stores the courts' business data.

The application will operate within the AOC data center environment. Court users will access the application through their county telecommunication network that is connected to the AOC and Washington telecommunication networks.

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III. Proposed Migration Plan

Migrating to a new court application on a statewide basis is a large and complex endeavor. The more comprehensive and complex the application, the more difficult the migration. A commonly used framework is employed to describe the proposed migration plan. This framework divides the system acquisition and implementation efforts into four major phases. These phases make it easy to categorize and describe the strategies and tactics involved in the migration plan.

A. Migration Strategy Overview

The 4-phase acquisition and implementation framework used to describe this migration plan is depicted in Figure 4 below. The basic approach involves system acquisition, configuration and validation, pilot implementation, and then, if successful, rollout to the rest of the superior courts in the state.

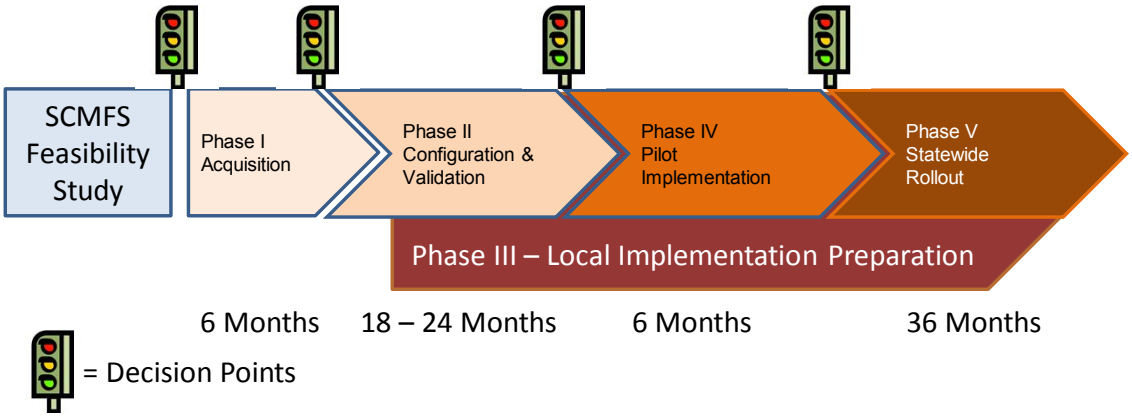

Figure 4 – Migration Plan Overview

- **Phase I – System Acquisition.** Consistent with JISC direction, the AOC will acquire an application that meets the functional scope described in Section II. The AOC will contract with an external solution provider for a SC-CMS application that is ready for configuration by the AOC and the superior courts. This SC-CMS application may be a commercial application or the LINX application provided by Pierce County.
- **Phase II – Configuration and Validation.** The solution provider, in partnership with AOC and local courts, will configure and customize the application to support Washington superior court rules and procedures. The AOC and solution provider will build data exchanges with court partners, the AOC SDR, and with other AOC applications. The solution provider will develop a data conversion process to capture existing court information in the new system data formats. The solution provider and AOC will implement a technical infrastructure for the new system. AOC will conduct comprehensive system testing and quality assurance to ensure that the new systems support Washington's common superior court operations properly.
- **Phase III – Local Implementation Preparation.** The AOC is acquiring SC-CMS as a tool for the courts and clerks to support their operations. Each court must work with its clerk, local justice community, and other local stakeholders to plan and prepare for implementation of this new system. This court community must work together well in advance of implementation to learn about the capabilities of the application, determine how the application can best be employed in that court community, assess their readiness for implementation, and take the steps needed to prepare.

- **Phase IV – Pilot Implementation.** AOC will work with a selected superior court community and the solution provider to implement the system in a pilot superior court. This production system implementation will give the AOC and the court community an opportunity to observe the application operating to support the superior court. The pilot will validate the functionality of the system in this context. Additionally, the pilot will enable the testing and validation of user training and the configuration of local courts. The project will conduct a "lessons learned" process and will use the pilot to plan and construct standard implementation patterns for rolling the application out to all courts.
- **Phase V – Statewide Rollout.** The AOC, leveraging the pilot experience and the resources of the solutions provider, will actively assist the local superior court communities as they each, in turn, implement the new court management application. AOC will facilitate an incremental process for implementation in each of the superior courts. AOC will work with judges, court administrators, and court clerks and their staff to configure the system, to train them to use the system, and to integrate the new processes into their court operations.

B. Phase I – System Acquisition

The JISC, the AOC, and superior courts are considering two acquisition approaches for this application: 1. procuring a commercially available application; or 2. partnering with Pierce County and/or the proposed LINX Open Source organization to acquire a version of LINX to support the superior courts. The result of this phase will be the same – an SC-CMS ready to configure and to be deployed in courts statewide. However, the acquisition approach will vary between the two options. These two approaches are outlined below and will be the basis for the Phase I tasks in the implementation plan.

1. Procurement Approach

Under this approach, the AOC would contract with a solution provider to provide a SC-CMS application that will provide information systems support to superior court operations. The procurement process will follow state procurement standards and guidelines. Figure 5 depicts a typical procurement process.

Both the AOC and vendors of the leading commercially available applications have organizational capacity and experience in such procurements. The AOC would contract with the SC-CMS application provider for:

- SC-CMS application software, documentation, and perpetual use licenses for all superior courts in the state.
- Configuration and modification of the application to meet the statewide SC-CMS requirements.
- Implementation of interfaces to enable interoperability with AOC and state justice partners.
- Implementation of interfaces as needed in the local superior courts.
- Engineering, acquisition, and deployment assistance to support the effective implementation of adequate computing and network infrastructure.
- Training in the use, administration, and maintenance of the application.
- Data conversion to support implementation and continuity of operations.
- Infrastructures and protocols to support test of each version and implementation of the application.
- Implementation support.
- Application maintenance, release management, and support.

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- Help Desk services.
- Extended warranties.

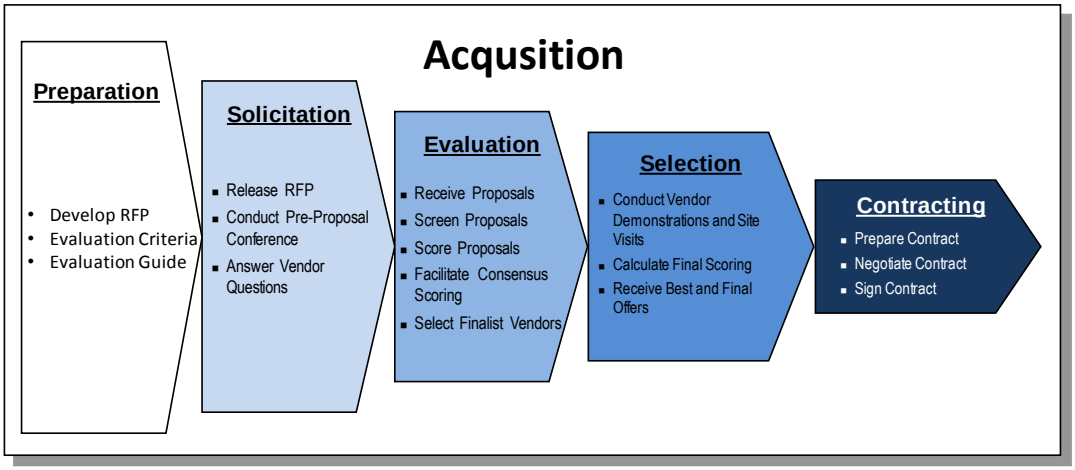

Figure 5 – Acquisition Approach

In addition, the AOC will procure services in ancillary contracts to support:

- **Technical Infrastructure** – Acquire the technical hardware and software that host the application. AOC will acquire the computer servers, database, peripheral devices, and operating system software components.
- **Quality Assurance** – Acquire independent quality assurance services to oversee systems development and deployment activities.
- **Supplemental Personnel Service** – The project may have periods where AOC needs additional business or technical staff to augment AOC and solution provider staff.
- **Support and Maintenance Services** – AOC will likely sign contracts with third parties to provide support and maintenance for ancillary applications that AOC deploys in Washington superior courts that are related to the SC-CMS.

Many of these ancillary procurement efforts will occur early in the project's life cycle. However, some procurement activities may occur later.

2. Partnering for LINX

If the JISC decides to employ the Open Source LINX application, then AOC would need to work with Pierce County to establish the agreements, governance, resources, and organization to develop, maintain, and support the application. Based on a series of discussions with Pierce County representatives, it appears that the county intends to develop and maintain the LINX application as an Open Source application. The county council has approved this approach. Beyond these decisions, limited planning for the implementation of this approach has been undertaken.

AOC would need to work with Pierce County on a number of tasks to establish the needed agreements, governance, resources, organization, policies, and procedures. At a summary level, these tasks are likely to include:

- Plan for the LINX Open Source application.
- Establish governance and create a decision-making structure.
- Secure the funding and funding sources.
- Establish software development management structure.

- Establish software support management structure.
- Develop and implement long-term staff plans.
- Create or identify fiscal and administrative organizations that will be employed to support development and maintenance operations.
- Execute contractual instruments.
- Acquire and implement infrastructure, technology, and tools.
- Establish the practices and processes used in application development, maintenance, and support.

APPENDIX D – Outline of Tasks to Establish LINX Open Source Organization provides a more detailed list of the tasks that would likely be required.

In addition to the efforts to establish this organization, the AOC, Pierce County, and other members of this collaborative organization would complete the application development required to move LINX to its new technology platform and prepare the application for implementation in the superior courts statewide.

Pierce County estimates that the effort to build an application based on the LINX prototype, to integrate it with the AOC EA, and to support the configuration needs of local courts would need 40,000 hours.[2] This would require Pierce County to assemble a project team consisting of 7-11 developers for a 2-year period. Project management personnel, database administrators, and technical writers would also be required to support the effort of developing a new court management system that operates in a similar fashion to the LINX application and integrates with other AOC statewide systems.

C. Phase II – Configuration and Validation

Phase I acquires resources and establishes the agreements and organization needed to configure the SC-CMS application for deployment in superior courts around the state. In Phase II, the AOC, superior court representatives and the application provider, team up to configure the application for deployment and verify that the configured application operates as expected. This phase is independent of whatever application has been acquired. If AOC selects a commercial software application, then the commercial application provider will provide systems integration services. If AOC selects a transfer application approach, the LINX consortium would become the solution provider.

This phase involves analysis, planning, design, integration, development, conversion, testing, and other activities to establish, configure, and test the data, technology infrastructure, applications, and business processes that enable the effective use of the SC-CMS. It is organized in a structured framework to address all these activities. This overall framework is shown graphically in Figure 6.

[2] Pierce County estimates 2 developers for 10 years. This equals some 40,000 hours (2 × 10 × 2000 hours per year).

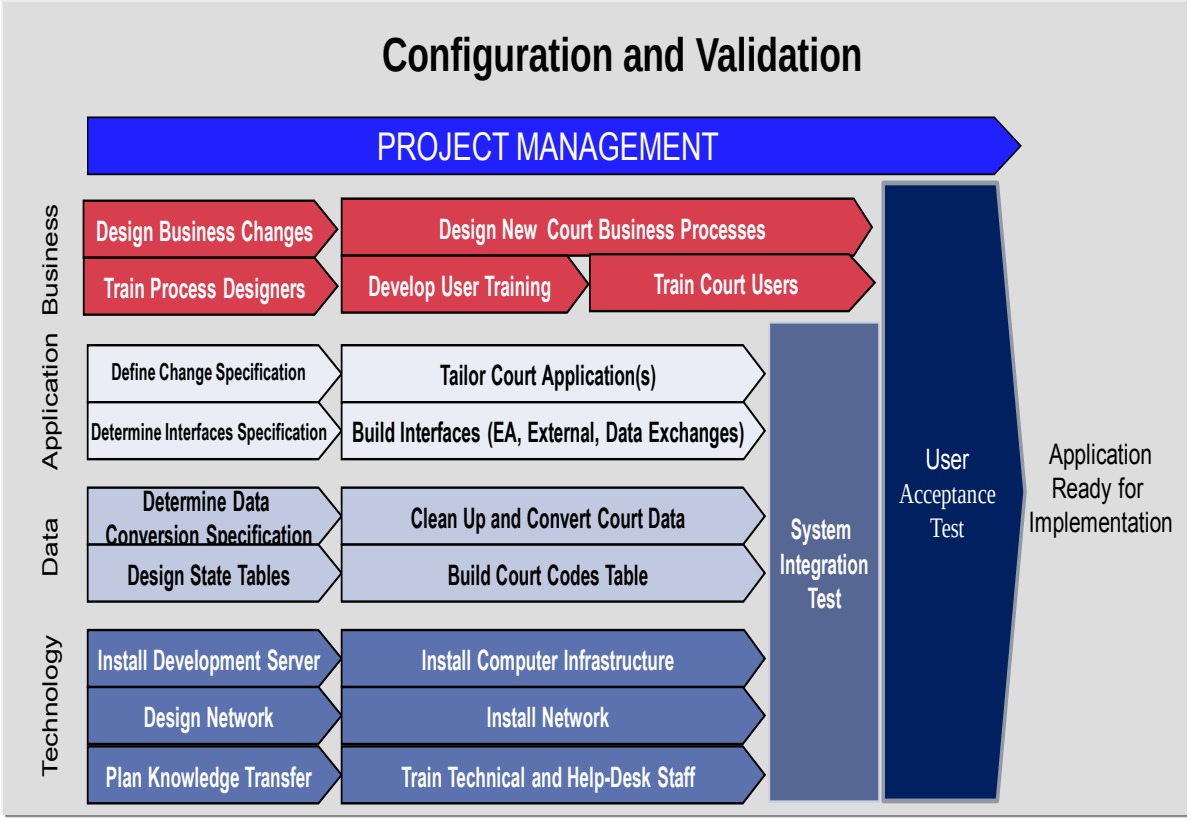

Figure 6 – Configuration and Validation

This section discusses this structured framework in more detail, addressing:

- Project Management.
- Business Integration.
- Application Preparation.
- Data Preparation.
- Implement Technology Infrastructure.
- System Integration Testing.
- User Acceptance Testing.

This framework will be employed in Phase II of the implementation to develop the tasks to be undertaken. It is also important to note that some of the activities in this phase will be performed before Phase I is completed in order to provide sufficient lead time and opportunity for communication for the courts and the justice community.

1. Project Management

Project management plans, organizes, controls, and leads project activities to achieve project outcomes. AOC will provide a qualified project manager who will oversee the work of all AOC staff, court staff, and the solution provider as they configure and customize the application to meet Washington superior court business operational needs. The project will follow standard project management practices following the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) standards.

AOC project management will manage the program aspects of the overall project coordinating project activities with other AOC initiatives, coordinating project governance and communication activities and integrating the solution provider plans with AOC-associated projects. The solution

provider will manage their staff and resources as they provide integration activities and coordinate with the AOC project manager for participating AOC and court resources.

Project management ensures that appropriate planning occurs so that the implementation follows an orderly process. The plans include project work plans that define the project plan and schedule. These plans include those related to project operations, human resource management, quality management, communication, risk management, and procurement management. As the project progresses, the project managers update and report the progress against these plans.

Project management responsibilities include planning and initiating management of changes to activities to prepare the AOC and local courts to assimilate the changes associated with the new implementation. This will be a coordinated activity with the solution provider, the local courts, and their associations.

2. Business Integration

As with any application implementation, the purpose of the SC-CMS is to optimize operations. The JISC and AOC have several activities to standardize court operations, business rules, and court rules. These efforts will play an integral part in preparation for the implementation of the SC-CMS application. Not only will the SC-CMS application need to be adapted to Washington practices, many Washington court practices may need to adapt to how the SC-CMS application functions.

The AOC, court representatives, clerk representatives, and the solution provider will work together to define how clerks and courts will use the application in superior courts to support operations. This effort will begin with early communication with and training of the AOC, court, and clerk managers and staff about the application and its functions. This will prepare these individuals to make informed decisions about how the application can integrate into standard court operations.

Each court will need to integrate their business processes and procedures with the new SC-CMS. Each court staff member will use the SC-CMS application to perform his or her specific task. Integrating the business and the technology will be critical to a successful implementation.

- **Design Business Changes** – The solution provider will work with AOC, court, and clerk managers and staff to plan a process for defining standard operational procedures for how the local superior courts will use the application to support business operations. It is anticipated that they will develop a small number of standard application configurations to support a corresponding set of standard practices. The team will develop plans that manage these standard configurations and practices.
- **Train Process Designers** – The solution provider will train AOC, court, and clerk managers and staff to configure and use the new superior court application. This will prepare these team members to make well-informed design decisions related to business processes, application configuration, conversion, and training.
- **Design new Business Processes** – AOC, court, and clerk managers and staff will work with the solution provider to design, define, and document each statewide business process and identify unique local processes. This SC-CMS business process team will need to address how process standards and local practices will be created, managed, and supported over the long term. The results of this effort will be shared statewide to the superior courts and clerks to inform them early, obtain early feedback, and garner their support.
- **Develop User Training** – The solution provider will develop the training curriculum and materials that will support the user training and business integration activities.

- **Train Users** – The AOC, with support from the solution provider, will train AOC business staff, judges, local court staff, clerk staff, and other systems users in how to use the application and how to integrate it into their specific work patterns. The solution provider must train AOC staff early so they know how the application works. However, training for local courts should take place concurrently with the implementation. Court users will need different styles and forms of training. Judges and managers may simply require orientation, while operational staff may need in-depth training.

The outcome of these activities is to prepare the court staff and to structure court operational procedures to be able to use the SC-CMS application effectively and efficiently to conduct the work of the courts. While business integration is performed within the Configuration and Validation phases, business integration should begin as early as possible to enable courts to prepare to assimilate the SC-CMS. Reengineering business processes can take substantial time, particularly when many courts are involved.

3. Application Preparation

Preparing the SC-CMS application for implementation includes a progression of activities to configure and customize the software to readily roll out and implement in each of the superior courts. The application will support Washington superior court operations and provide required interfaces with AOC internal systems and external partners. Activities include:

- **Define Change Specification** – The solution provider will work with AOC, court, and clerk managers and staff to develop a specification of how the solution provider will configure standard configurations and customize the application to operate in Washington superior courts. The solution provider will explain how their application functions and works and determine how it needs to be configured or modified to support superior court operations. The application will support the scope of functionality defined previously.
- **Determine Interface Specification** – The solution provider will develop data exchange and interface specifications for how the application will interact with:
    - Other AOC applications.
    - The AOC state data repository and other EA services.
    - Local court applications such as document management systems.
    - State-level justice partners (e.g., WSP, DOH, DSHS, DOC, etc.).
    - Local-level justice partners.
- **Tailor Application** – The solution provider will make the necessary configuration and customization changes to the application so that it supports Washington superior court operations and business rules, meeting the specifications outlined above.
- **Build Interfaces** – The solution provider will build interfaces to an AOC information networking hub to support the AOC EA and to exchange data with other AOC applications and services. The solution provider will also develop interfaces with external partners maintaining the same interfaces that existed in the systems that will be replaced.

At the close of this effort, the AOC will have an SC-CMS application ready for rollout in the pilot superior court and subsequent superior courts. This application is ready for testing in the validation effort.

4. Data Preparation

The role of the SC-CMS differs from that of SCOMIS. Consequently, the data maintained in SC-CMS will have a somewhat different role. The JIS database that underlies SCOMIS supports court operations and recordkeeping and maintains a statewide index to court cases.

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SC-CMS will focus on supporting court operations and recordkeeping. As it does so, SC-CMS will provide transactional data to JIS or its planned successor, the AOC's SDR.

This sets the stage for the data conversion strategy. The superior courts will not be called on to convert the decades of historical data they have entered through SCOMIS. That data will remain and be added to the JIS/SDR as they transition away from SCOMIS. Instead, they will be involved in determining how they convert data from active cases.

The data preparation effort will refine this strategy and establish the scope and methods employed for this conversion. In addition, it will address how configuration, localization, and management data will be entered on a statewide and court-by-court basis. The activities involved include:

- **Define Data Conversion Specification** – The solution provider will work with the AOC, court, and clerk management and staff to confirm and refine the conversion strategy. Based on this, the solution provider will develop a data conversion specification that will define how the current court information contained in the AOC JIS database, local databases, and other data sources will be cleaned up and converted into the database format for the new database that supports the solution provider's SC-CMS application.
- **Design State Tables** – The solution provider, in cooperation with AOC, court, and clerk management and staff, will define the standard static tables that will support the application. These tables include all aspects of the configurable data that will support business operations. This process will likely include defining table-driven business rules and electronic correspondence and form templates.
- **Cleanup and Convert Data** – The solution provider will construct the programs to clean up and convert the data from the current information sources to the new format and organization required for the new SC-CMS application database. This construction follows the data conversion specification that the solution provider prepared earlier. The solution provider will conduct a series of trial data cleanup and conversion runs to confirm that the court information converted is of the highest possible quality and has no loss of integrity from previous court operations.
- **Build State-level Tables –** The solution provider will work collaboratively with AOC to populate the codes tables. This includes defining business rules and providing correspondence and court-specific information and data.

The outcome of these activities is that a database environment will be ready to support the use of the SC-CMS application.

5. Implement Technology Infrastructure

The solution provider will implement the physical computer servers, databases, and network connectivity and train AOC staff to support the technical infrastructure.

- **Install Development Servers** – The solution provider will work with ISD to implement the technical infrastructure to support their initial development activities. This involves implementing the computer servers and integrating them with existing AOC infrastructure resources.
- **Design Network** – The solution provider will design the network connectivity between the new application's technical infrastructure and the AOC systems and networks that support superior courts statewide. This design will support the information exchanges with the AOC EA and other interfaces with external partners. This will also require the identification of network capacity requirements for the new SC-CMS application operating in locations throughout the state. They will work with ISD to confirm the effectiveness of this design and refine it.

- **Plan Knowledge Transfer** – The solution provider will develop and execute a plan for transferring technical information about their solution to ISD staff. This knowledge transfer will include application, database, interfaces, infrastructure, and networking technical information and procedures.
- **Install Computer Infrastructure** – The solution provider, working with ISD, will install the computer infrastructure to support the testing, training, and production environments for the new superior court application. The computer infrastructure will need to support the initial pilot implementation as well as be expandable to support the incremental rollout to other superior courts statewide.
- **Install Network** – The solution provider, working with ISD, will install the network connections between the new application and the AOC EA Information Networking Hub and initiate related services. ISD will integrate the network into the existing statewide court network, enabling statewide connectivity to the new SC-CMS application tools.
- **Train Technical Staff** – The solution provider will train ISD on how to support, maintain, and operate the SC-CMS application, database, technical infrastructure, and networking components. Knowledge transfer will consist of formal education, classes, and hands-on experience working with the application, database, information exchanges and interfaces, infrastructure, and other systems components.

The outcome of these activities will be a technical infrastructure that will support the SC-CMS application as it is tested and implemented in an incremental deployment process.

6. Systems Integration Test

Once the application has been certified and the SC-CMS is configured, customized, and ready for implementation, the solution provider will conduct a comprehensive systems test. The integration test ensures all of the systems components work together. The solution provider will document and correct all defects and deficiencies that are identified through the systems integration test. In order to successfully pass this stage, the SC-CMS should suffer only errors of severity level 5. In the event that the configured application results in any errors ranging from levels 1 to 4, the solution provider will correct the problem and retest until resolved or until the AOC terminates the contract with the solution provider for non-performance. The outcome of this process is a validated system that works as an integrated whole. AOC and the solution provider will next submit the SC-CMS application to user acceptance testing.

7. User Acceptance Test

A Test Team comprised of AOC Quality Assurance and court and clerk management and staff will conduct a comprehensive user acceptance test of the application. The solution provider, in collaboration with the Test Team, will develop a User Acceptance Test Plan and process to thoroughly exercise and test the SC-CMS application. The testing program will validate that the application meets all requirements, documented in the requirements traceability matrix, and that the SC-CMS application can function properly in the Washington superior court context.

AOC Quality Assurance will lead a team to construct business scenarios comparable to normal court operations and design and construct user acceptance test cases. The Test Team will execute the test cases and document the results.

The solution provider will correct all defects and provide functionality to correct any deficiencies. The systems will be retested (regression test) to ensure that the system continues to operate

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correctly. AOC will repeat this cycle until the solution provider corrects all defects and testing produces no defects identified by the Test Team in levels 1 through 4[3].

The outcome of this process is a validated SC-CMS application that AOC is ready to deploy into the pilot implementation environment.

D. Phase III – Local Implementation Preparation

Concurrent with Phase II – Configuration and Validation, the AOC will begin reaching out to the courts to initiate local planning and preparation for the implementation of SC-CMS. While the AOC will be providing information, tools, resources, and program coordination services to the courts, the courts will take the lead in working with their clerks and local justice communities to prepare for SC-CMS implementation. This preparation will require as much as 2 years for the largest and most complex superior court communities and less than a year for the smallest courts.

As noted in the descriptions of Phase IV and Phase V, SC-CMS will be deployed in a pilot location and, depending on the results of the pilot, other court locations throughout the state. These implementations will be staged and staggered over approximately 3 years. The schedule for the statewide implementations will depend on the readiness of each court as well as the resources available from the AOC and the solution provider to aid in implementations. Just as these implementations are staged, the preparation efforts will be similarly staged. This staging of preparation and implementation efforts is depicted in Figure 7, below.

Under this approach, multiple courts (large and small) will implement concurrently. Also shown, each court will go through a preparation effort whose duration is dependent on the organizational and technical complexity of the court, the budget cycle for the court community, and the size of the court. These preparation efforts will also proceed concurrently.

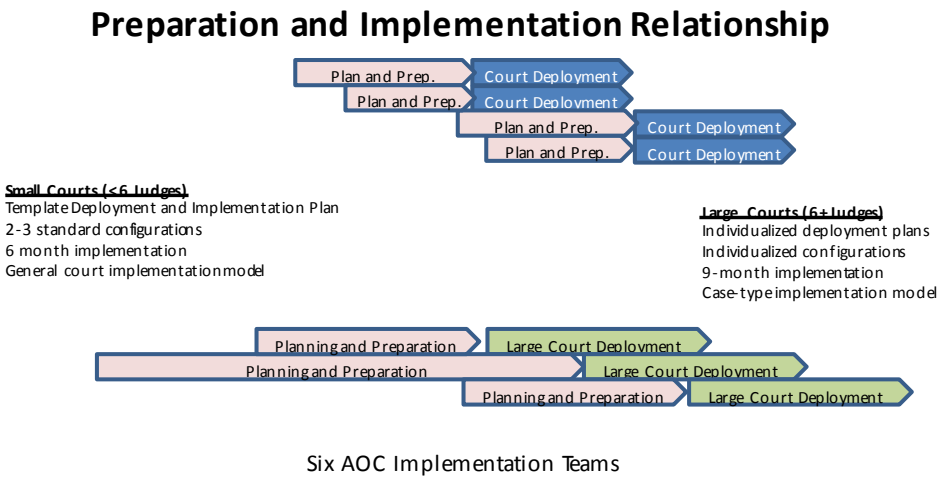

Figure 7 – Preparation and Implementation Relationship

The preparation efforts will include several planning and preparation activities, including:

[3] It is important for the usability engineer to attend meetings in which development and product managers review bugs, and to decide if the severity is appropriate.

- Communicate to the court community.
- Train the court and court community.
- Conduct readiness assessment.
- Redesign court business processes.
- Redesign court community business processes.
- Revise court and court 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.

These activities are depicted in Figure 8, below. They fall into categories of project management, business, application, data, and technology. Each of these activities is described in the sections that follow.

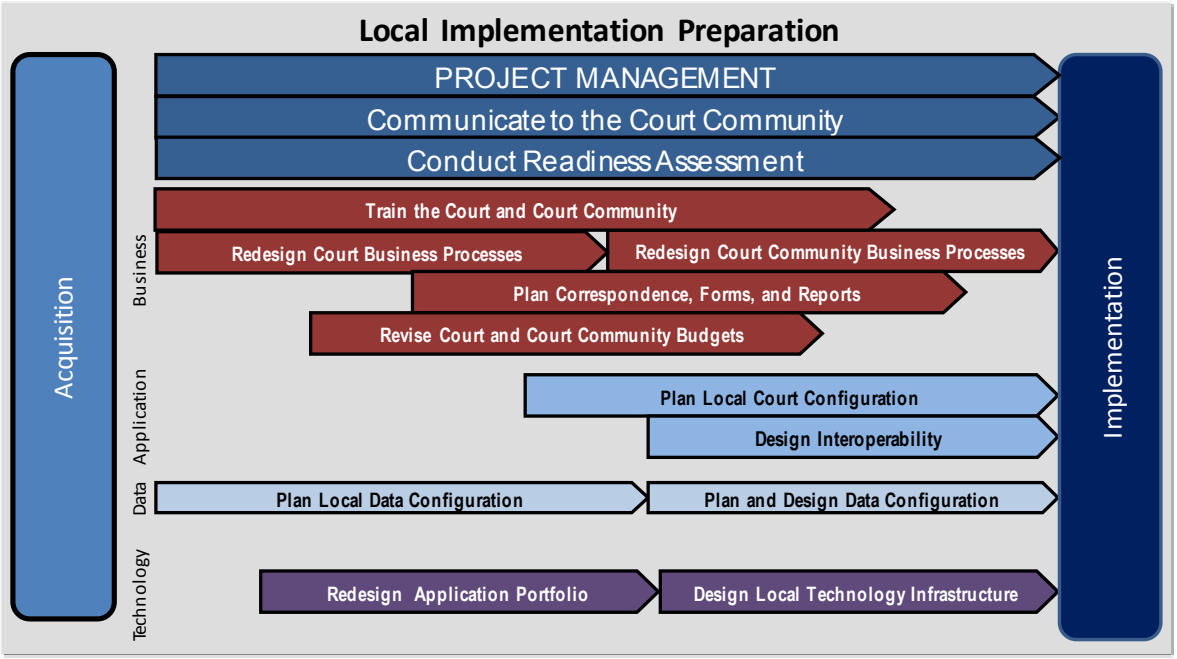

Figure 8 – Local Implementation Preparation

As described in the sections below, the local court, no matter how small, will be in a leadership and decision-making position in planning for local implementation. This is not to say that any court must plan for or implement SC-CMS without support from the AOC. There will be significant AOC resources provided to support the courts and to facilitate planning and transition. Even if the AOC is not explicitly mentioned in any of the tasks below, resources will be available to the courts to aid in each task.

1. Communicate to the Court Community

The AOC will work with each local superior court to provide complete, timely, and accurate information about the SC-CMS program. The superior court will be the lead in communication to its local court community and local stakeholders. This process begins once the AOC has a solution provider under contract. The AOC will brief the courts on the solution, opportunities, migration plans, and local court community obligations. The AOC will provide monthly updates on plans, progress, and changes in scope, schedule, and budget. Local courts will manage communication with the local community.

2. Train the Court and Court Community

Effective business process redesign, planning, and technical design depend on informed efforts. The AOC and the solution provider will work together to provide training to aid with:

- Business process redesign.
- Configuration.
- Conversion.
- Forms and reports management.
- Application portfolio design.
- Interoperability.
- Technical infrastructure requirements.
- Readiness assessment.

Training will be performed throughout this phase so that the courts and their partners have appropriate training and information when they need it.

3. Conduct Readiness Assessment

Each court will need to have a clear picture of its readiness to implement SC-CMS. Using a standard, statewide tool to perform this assessment, the court will consider:

- Court leadership cohesion.
- Interest in implementing SC-CMS.
- Local integration.
- Local resources availability.
- Degree of unique specialization.
- Fit with the court's application portfolio.
- Age of existing applications.
- Extraordinary characteristics.
- County support.

A draft of the categories considered in this assessment is presented in Appendix E – Critical Success Factors. Some courts will naturally exhibit low-risk, “green” characteristics. Others may never move away from a “red” characteristic. In the latter case, the court would make plans to mitigate this situation.

The court will need to work with their community to discuss and complete the assessment. The assessment will be completed more than once, to measure progress and trends.

4. Redesign Court Business Processes

Local courts will identify changes to court operations that are necessary to make the most from the implementation of SC-CMS. This will leverage the business integration performed in Phase II, as well as the templates also developed in that phase.

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This effort will need to integrate with the business processes of the court's partners in the community. It may identify opportunities for automation of information exchanges.

5. Redesign Court Community Business Processes

Local courts will reach out to their justice partners to identify changes to justice community operations and IT resources. The focus will be on making the most of the SC-CMS implementation and cause the least negative impacts to these partners.

Court processes will change. Responsibilities within these processes may also change. If this is the case, it is likely that organizational changes may be in order.

This effort will leverage the templates developed in Phase II. It will also consider the standard automated interfaces developed in Phase II. These interfaces may streamline processes that require information sharing between the court and its partners. All these discussions will have potential budget impacts. The results will impact budget decisions.

6. Revise Court and Court Community IT Budgets

The implementation of SC-CMS will impact the operating and capital budgets of the local superior court and their justice partners. Workloads may shift. There may be opportunities to develop labor saving interfaces. These changes will need to proceed through the local legislative budget cycle. Time is set aside during this phase for courts and their local partners to adjust operations and, if investment in automated interfaces is warranted, capital budgets.

7. Plan Local Court Configuration

Each local superior court needs to evaluate their local processes in order to configure SC-CMS to support its operations. This configuration establishes user roles, authority, and responsibilities; naming conventions; calendars; work flows; defaults; and other common factors for that court.

This will be performed after configuration training is provided. The local superior court can leverage the results of Phase II. It may employ one of the templates produced in that phase. It will require coordination with local court justice partners. The result will be the information needed to quickly load the court's configuration into the SC-CMS test, staging, and production environments.

8. Plan Local Court Data Configuration

As was the case with the statewide application configuration, the local superior court and their local clerk need to evaluate their options and decide how to configure SC-CMS to manage its data. This configuration establishes lists of values for the data maintained in the application.

Data configuration will be performed after conversion training is provided. The local superior court can leverage the results of Phase II. It may employ one of the templates produced in that phase. The result will be the basis for setting up the validation tables in the SC-CMS. This information will also support the data conversion effort.

9. Plan Correspondence, Forms, and Reports

The local superior court and their local clerk will also need to define the standard correspondence, forms, and reports that will be produced by the application. The effort will use the training the local superior court received on designing, configuring, implementing, and managing these application-generated forms.

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They will start with the statewide standards that are included in one of the templates prepared in Phase II. They will identify which documents will be:

- Used as specified statewide
- Modified for local use
- Removed (not used)
- Added

It is anticipated that many courts will employ the statewide standards, limiting the tailoring to local court identifiers including county name, addresses, and phone numbers. Any non-standard forms should go through legal review. When complete, the results will support the rapid loading of these automatically generated documents into the SC-CMS application.

10. Plan and Design Data Conversion

The local superior court and the clerk will work together with AOC to consider conversion strategies. They must select a data conversion approach and define, for example:

- The scope of the records to be converted (e.g., all cases in the JIS database, currently open cases, only certain case types, none).
- The method of conversion (e.g., manual, automated, hybrid).
- How to address errors.
- How to staff this effort.

They must develop a plan to implement that approach. They will design the conversion specifications, mapping existing data into the new data structure

11. Redesign Application Portfolio

In many of the larger jurisdictions, the local superior court community employs a number of applications to support the operations of the court. This is true in some of the smaller jurisdictions as well.

In those settings, the SC-CMS will be introduced into their portfolio of applications. As that occurs, the local application architecture will need to be redesigned to factor in SC-CMS. This new application may replace some of the applications currently employed by the local court community. It may need to interoperate with other applications in the court's and the community's portfolio.

The local court will leverage the training and changes in the business process described above. This effort will also consider interoperability plans developed in this phase and the standard interfaces designed and built into the SC-CMS Configuration and Validation phase, Phase II.

12. Design Interoperability

The local superior court will assess the needs and opportunities for interoperability between the SC-CMS and other local applications. The AOC will address statewide interfaces in Phase II. However, some local superior courts may have developed interfaces between SCOMIS or the local calendaring application and other applications. In this case, the local superior court will inventory the existing local automated interfaces it has implemented with internal applications. In addition, the court will work with its justice partners to inventory the existing local automated interfaces with partner applications.

In addition, the court and its justice partners will identify new interfaces that would provide a positive return on investment. The court, working with ISD and technical staff from its local justice partners, will design the interfaces that enable local interoperability. They will create the specifications needed to develop and test these interfaces.

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13. Design Local Technical Infrastructure

Changes to the application portfolio and the interoperability of court applications will bring about requirements for changes to the technical infrastructure of the local superior court and possibly its justice partners. The court will work with ISD and local technical staff to assess the requirements for these infrastructure changes and to design the updates required. This design will support the rapid deployment and testing of this needed infrastructure.

14. Compile Local Implementation Plans

All of the assessments, plans, designs, and specifications will be compiled into a local court implementation and deployment plan. In this compilation, the court will review and reconcile all of the components described above, making sure that each is consistent with the whole. In addition, the court will work with the AOC to coordinate this court's plans with those of the AOC SC-CMS program office and other courts implementing the application.

E. Phase IV – Pilot Implementation

As Phase II – Configuration and Validation proceeds, AOC will work with the JISC to identify a medium-sized court that could serve as the pilot implementation site. This court should be reasonably representative of other Washington courts, it should be actively preparing for implementation of SC-CMS (Phase III above), and it should have a positive readiness assessment as a result of those efforts.

The AOC will implement full superior court functionality, defined in the scope of the project, in this pilot court. The primary purpose of the pilot is to enable preparation and validation of implementation and deployment procedures. A second purpose is to validate the effectiveness of the application in a production court environment. This will provide an opportunity for validation where the pilot court and other courts can observe how the SC-CMS works. These courts can make adjustments to plans, designs, and operations to integrate the application more effectively and efficiently with court operations. Figure 9 depicts the pilot implementation process.

Phase IV is a repeatable implementation planning and execution process, where insights gained from the pilot implementation inform future plans for deployment. The major steps in this process are described in the following subsections.

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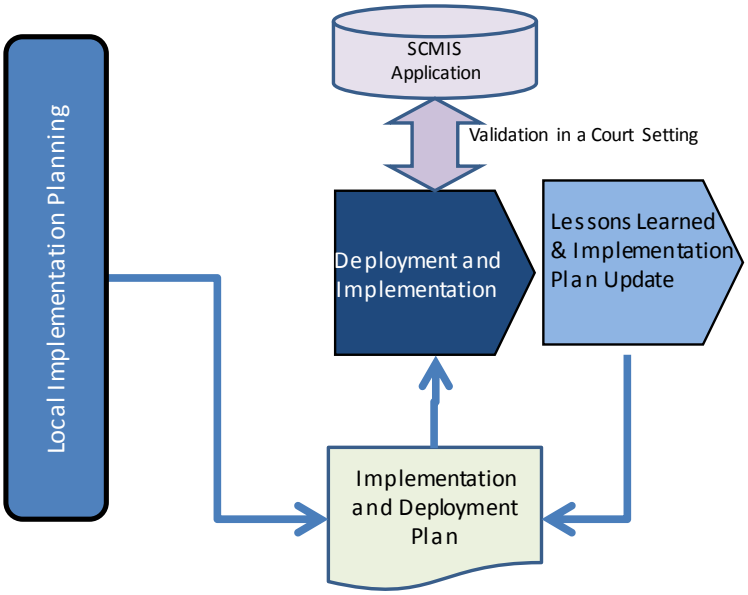

Figure 9 – Pilot Implementation

1. Deployment and Implementation

This phase executes the implementation and deployment plan to actually configure the application, train the court and clerk staff on the application as configured, convert data, and integrate the application into court and justice partner operations. The court and the AOC will execute and track each step of the implementation plan to validate the effort and effect. The AOC deployment team will support the courts' implementation efforts, document problems encountered, recommend solutions, and develop work-arounds as needed.

This will require substantial coordination and communication between the solution provider, AOC, and the local court, clerk and justice partner business and technical staff. It will be imperative that the solution provider, AOC, and the local stakeholders develop a working relationship to ensure that a smooth pilot implementation occurs. Since the purpose of the pilot is to shake out and resolve problems, problems are expected and a high level of collaboration will be required to work through the issues in a timely fashion.

Once the court and the AOC prepares and deploys the application, AOC and the local stakeholders will watch carefully to see how the application performs and how effectively it is used to support the court's operations. When defects are found, the solution provider will fix the software. When deficiencies of functionality are identified, the solution provider, AOC, and the local court, clerk, and justice partners will develop solutions to resolve the functionality gap. The solution provider may adjust the application to ensure that it operates effectively and efficiently and integrates well with the courts operations. In some cases, the local court may adjust their business operations to address a deficiency or to optimize effectiveness and efficiency.

The pilot implementation will operate through several court business cycles to insure that all aspects of the application work properly for all case types and at all points of the business cycle. AOC will need to validate Information exchanges and data interfaces, correspondence, forms generation, management reports, and performance metrics. The local court will need to review each business operational work flow to identify and resolve operational and systems issues. Throughout the pilot application, AOC will evaluate and adapt the implementation and

deployment plan to develop a model that it is a best practice, is accurate, and is repeatable in other courts.

2. Lessons Learned and Implementation Plan Update

After the application is successfully operating in the pilot county, the solution provider, AOC project manager and team, and the local stakeholders' business and technical pilot participants will conduct a debriefing of the implementation and deployment process. They will consider every aspect of the implementation and deployment plan to identify lessons learned and to recommend improvements.

AOC will refine the implementation and deployment plan from this pilot implementation. The solution provider may need to adjust their documentation, training curriculum, and other components to reflect the updated plan. The AOC deployment team will share the updated implementation and deployment plan as well as the lessons learned with the other Washington superior courts.

F. Phase V – Statewide Implementation

AOC will establish an orderly implementation schedule for superior court communities to receive the SC-CMS. This schedule will identify the sequence of superior court community implementation. The implementation schedule will consider the capability and resource availability of the AOC and the solution provider to assist the implementation of multiple superior court communities concurrently.

The sequence in which each of the superior court communities is implemented also depends on the readiness of each community to make a transition to a new system and new operations. APPENDIX E – Critical Success Factors proposes what factors should be used to assess the readiness of the court communities to make these changes. Each court community should assess their readiness and work with the AOC to schedule implementation when they would be best prepared. Court communities that have the most favorable characteristics can schedule earlier implementation. This will enable all stakeholders to learn and benefit from the decisions and impacts realized in the earlier implementations.

Statewide implementation involves implementing the SC-CMS application in 22 small superior court communities (i.e., with fewer than six judges) and in 9 larger communities (i.e., with six or more judges). Figure 10 illustrates this deployment challenge.

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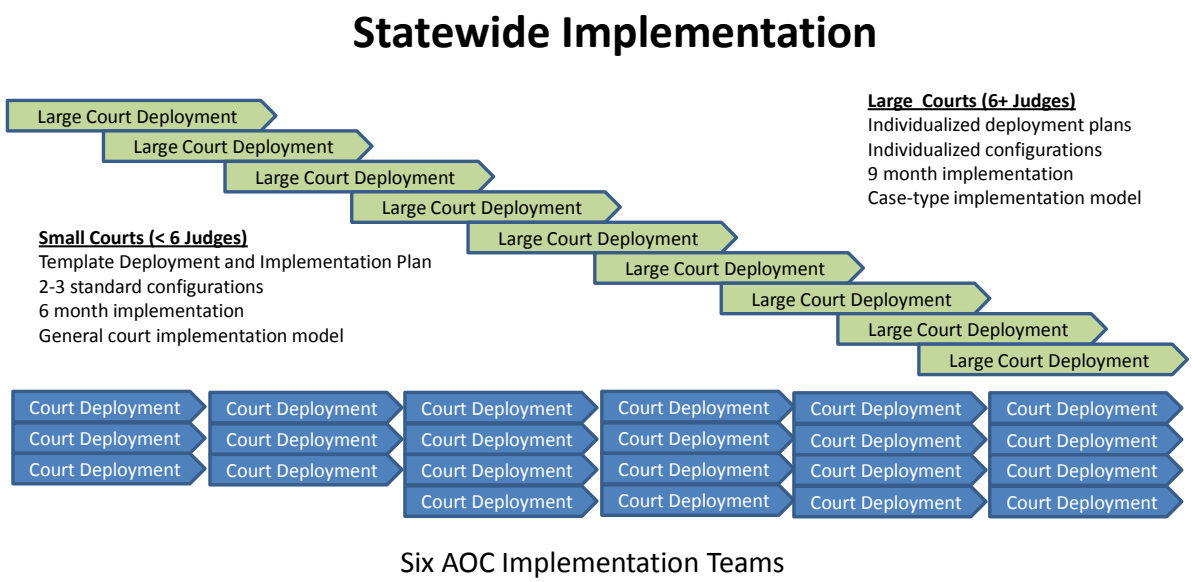

Figure 10 – Statewide Implementation Alternatives

The AOC will employ two distinct implementation approaches. The first approach supports implementation in small and medium-sized superior court communities. It would entail implementation of the entire application across all case types in one implementation effort. Applications would be implemented concurrently in three to four court communities. AOC will offer two to three standard configuration templates for these communities. These options will provide flexibility and minimize the customization and the variability in the application across the superior courts.

A second approach focuses on helping large superior court communities (which may include specialty courts or high case volume courts) to implement SC-CMS. These implementations will be tailored to the structure and operations of these large courts. Each court community will have more time to implement. In addition, the effort will involve a series of smaller implementations, possibly one case type or one court docket at a time. AOC will treat each large court community as a separate project and would configure that court separately.

The following table identifies the list of the courts proposed for each implementation group. The table lists each judicial district and notes the number of judges in each district. The last two columns recommend the implementation approach for each judicial district.

Court	Judges	Small Court Implementation Plan	Large Court Implementation Plan
Adams	1	X	

Court	Judges	Small Court Implementation Plan	Large Court Implementation Plan
Asotin/Columbia/Garfield	1	X	
Benton/Franklin	6		X
Chelan	3	X	
Clallam	3	X	
Clark	10		X
Cowlitz	4	X	
Douglas	1	X	
Ferry/Stevens/Pend Oreille	2	X	
Grant	3	X	
Grays Harbor	3	X	
Island	2	X	
Jefferson	1	X	
King	53		X
Kitsap	8		X
Kittitas	2	X	
Klickitat/Skamania	1	X	
Lewis	3	X	
Lincoln	1	X	
Mason	2	X	
Okanogan	1	X	
Pacific/Wahkiakum	1	X	
Pierce	22		X
San Juan	1	X	
Skagit	4	X	
Snohomish	15		X
Spokane	12		X
Thurston	8		X
Walla Walla	2	X	
Whatcom	3	X	

Court	Judges	Small Court Implementation Plan	Large Court Implementation Plan
Whitman	1	X	
Yakima	8		X
TOTAL	**188**	**24**	**8**

Each small and medium-sized superior court community will largely follow the implementation and deployment plan developed in Phase III – Pilot Implementation. It will select one of the standard configuration templates for use. AOC will send a deployment team to the county (judicial district) and will initiate planning and implementation activities in collaboration with the local court management team (judges, court administrator, and county clerk), and the local county IT staff. Small and medium-sized court deployments will take about 6 months.

The large courts will have to adapt the Implementation and Deployment Plan, since they will implement on a case type-by-case type basis. AOC will deploy an implementation team to work with the court's leadership team and local county IT staff to implement plan and accomplish implementation activities. Large court deployments will take about 9 months.

While this describes the main difference between these approaches, the following two sections describe the two implementation approaches in more detail. These details will be reflected in the implementation plan.

1. Small/Medium-Sized Court Implementation Approach

AOC will develop a project plan for implementing each small and medium-sized superior court community. This plan will leverage the Implementation and Deployment Plan from the pilot implementation. Using the results of the Configuration and Validation Phase, the AOC and the solution provider will provide two to three configuration templates from which the courts can choose to implement the system.

AOC will organize deployment assistance teams whose staff will travel to each court community to assist with the implementation of the SC-CMS application. Each deployment assistance team consists of a business subject matter expert (SME), a technical analyst, solution provider staff, and a trainer. Each team will work with a specific superior court community to plan, configure, train, and guide the SC-CMS implementation.

At the AOC offices in Olympia, a base team will support the implementation process. A project management team will coordinate implementation logistics, resolve issues with a statewide perspective, and manage resources. The solution provider team and AOC technical staff will support the configuration changes and assist in building interfaces and convert data from local data sources. Communications and change management staff will send out implementation information and information to assist the court leadership to prepare for and assimilate the changes associated with implementing a new system.

The following diagram illustrates the elements of implementing a local court.

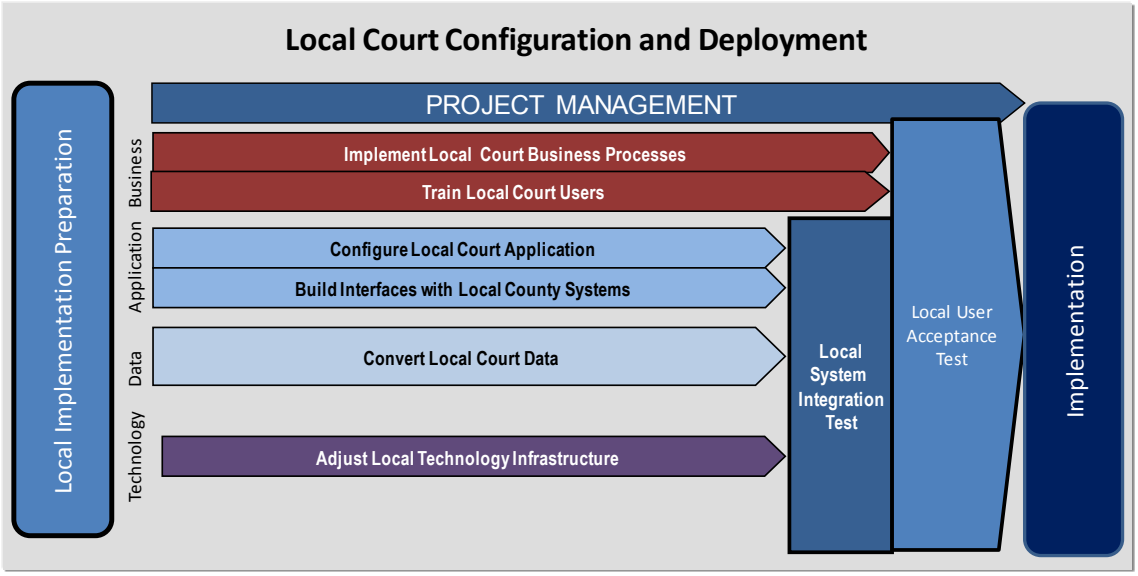

Figure 11 – Local Court Configuration and Deployment

The implementation activities include:

- **Project Management** – A project manager will be assigned to oversee each local court deployment. The project manager will plan, organize, control, and lead all AOC implementation efforts.
- **Implement Local Court Business Processes** – The judges, court administrators, and court clerks will design and implement the actual business processes using the SC-CMS. The court will examine each business activity to determine how the assigned staff will perform the tasks using the new system.
- **Train Local Court Users** – The AOC trainer will train the local court staff in how to use the application and how to conduct court business tasks and processes.
- **Configure Local Court Application** – The configuration specification will be sent back to AOC, where the solution provider and AOC staff will configure the application to meet the local court's needs.
- **Build Interfaces** – Either the local county staff, if they have the capability, or AOC staff will need to build and test the interface between the SC-CMS and the local systems.
- **Convert Local Court Data** – The local county IT staff or the AOC will develop data conversion processes to migrate data from local court databases to be uploaded into the SC-CMS application. The conversion programs will need to convert the data into a format compatible to the new application and to validate the integrity of the data.
- **Adjust Local Technology Infrastructure** – The local technical staff will make any necessary adjustments necessary to their county technical infrastructure to accommodate the SC-CMS application.
- **Local Systems Integration Test** – Once all technical adjustments, data conversion, and interfaces are constructed and implemented, a systems integration test will be conducted to ensure that the technical infrastructure is ready for implementation.
- **Local User Acceptance Test** – The local court with support from AOC and the solution provider will support a local user acceptance test. This will be an opportunity to test the application and confirm that the configuration is correct and able to support the court

operations. The acceptance test will compare the results of using the SC-CMS to existing operational results.

- **Implementation** – Once the court has validated the SC-CMS system, they will begin using the application to support their ongoing court business operations.

AOC will deploy business and technical resources to assist in the implementation activities. The county and the court (judges, court administrators, and court clerks) will also deploy business and technical resources to plan, configure the system, adapt their business processes, participate in training, and complete other implementation-oriented tasks. AOC will adjust the implementation and deployment plan as necessary, since it will be the template for other court implementations. AOC and the local court leadership will track and jointly resolve issues.

AOC will implement up to four courts concurrently in order to meet the project dates. AOC will organize and deploy multiple deployment teams to support each court's implementation activities.

The small court implementation approach suggests implementing three courts simultaneously for the first two rounds and then four courts simultaneously for the next four rounds. This will allow achieving implementation within the 5-year planning window. The implication of this is that AOC will need to create four implementation teams that will facilitate implementation activities for the smaller courts.

2. Large Courts – Case Type Implementation

Large courts have different dynamics, more specialization, greater transaction volume, and more deployed technology than smaller courts. For these reasons, each large court will require a custom deployment plan to consider how they will implement the SC-CMS application.

Some courts may continue to use their current systems and will need to create information exchanges with AOC so that they can have consistent statewide information with their court operations. These efforts are outside of the scope of this plan and will need to be negotiated and planned with AOC as a separate project.

Larger courts have more specialized operations usually operating dedicated programs for specific case types (e.g., criminal, civil, family, juvenile courts, and specialty courts). These courts will need to adapt AOC's standard implementation and deployment plan to meet their unique needs. These courts may choose to implement one or a group of case types at a time. This will require more logistical planning on the part of both the court and the AOC to successfully deploy the application. All of the implementation activities need to be performed, but their context and scale will differ for each large court, based upon the court's unique structure and context.

G. High-Level Work Plan and Schedule

The framework described above is the basis for the high-level work plans. The commercial application approach differs in structure from the transfer application approach. The following sections discuss the following topics:

- Commercial application approach.
- Transfer LINX application approach.
- Proposed schedule.

1. Commercial Application Approach

APPENDIX F – Commercial Project Work Plan and Schedule shows the high-level work plan for the commercial vendor approach. The commercial application alternative includes a full

systems procurement in Phase I to acquire a commercial system. The Configuration and Validation phase will take 18 to 24 months, ending with the acceptance of a functional system. The pilot is planned for 6 months. Implementation of small to medium-sized courts consists of AOC implementing four courts concurrently, with each implementation lasting 6 months. Large courts are scheduled for 9-month implementation schedules and they will require customized planning for each court implementation.

2. Transfer Application Approach

APPENDIX G – Transfer LINX Work Plan and Schedule describes the similarities and differences between this and the commercial application approach. The basic planning and implementation phases involving preparation, pilot implementation, and the statewide rollout are the same. The plan employs a small acquisition phase to develop an operating agreement with organizations in collaboration with Pierce County to provide and support the LINX application as the solution provider.

The major difference is the significant task of Pierce County developing new software using LINX as a prototype. This effort, described earlier, is estimated to require 40,000 hours of effort. With a crew of 7 to 11 developers, this will require a minimum of 24 to 36 months to design, build, test, and validate this application. The relative schedule turns out to be the same, since a very short procurement period would be necessary for AOC to acquire a software development firm to build the application.

3. Proposed Schedule

The work plans shown in APPENDIX F – Commercial Project Work Plan and Schedule and APPENDIX G – Transfer LINX Work Plan and Schedule show the high-level schedule. Assuming a January 2012 start, the business application using either approach should be ready for pilot implementation by July 2014. The key schedule assumptions for both approaches are shown in the table below.

Schedule Component	Commercial Application	Transfer LINX Application
Begin Date	January 2012	January 2012
Procurement	6 Months	6 Month
Software Configuration and Validation	18-24 Months* Configuration and Customization, Testing	35 Months Design, Construct, and Test Application
Local Implementation Preparation	60 Months	
Pilot Implementation	6 Months	
Statewide Implementation Small Courts	6 Month Implementation Cycles With Six Groups of Four Courts in Each Group	
Statewide Implementation	9 Month Implementation Cycles With Four Courts[4]	

[4] MTG expects that four of the largest courts will decide to use their current systems and build information exchanges with AOC to participate in the AOC-hosted SDR.

Schedule Component	Commercial Application	Transfer LINX Application
Large Courts		

* Estimate 18 to 24 months for commercial solution provider to configure and validate commercial application.

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IV. Migration Project Organization

This section addresses the governance and management processes for successful completion of the SC-CMS application implementation project. The following topics are addressed:

- Project governance structure.
- Project management structure.
- Project operations.

A. Project Governance Structure

Project governance includes the authority for making decisions about the project and the means by which those decisions are affected. This project will operate under the authorization and oversight of the JISC. The entities involved in the project governance and management structure are shaded in the proposed project organizational chart below.

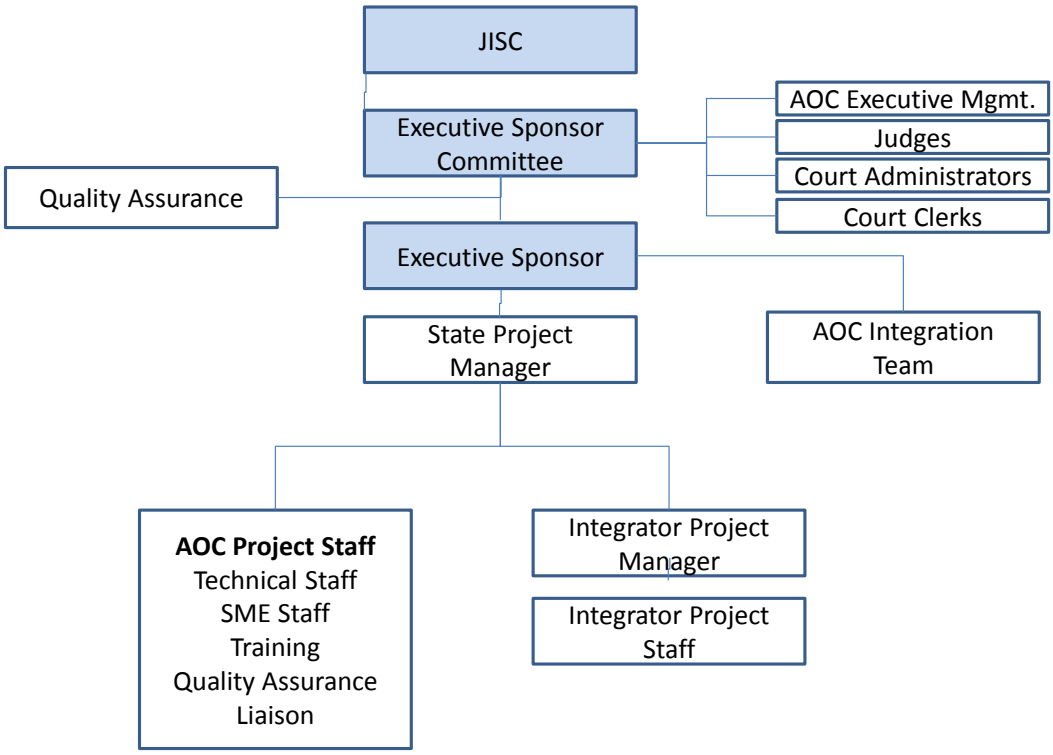

Figure 12 – Project Governance Structure

1. JISC

The JISC will provide oversight to the project. Periodic reporting on project status and issues to the JISC will be required of the executive sponsor and the external independent quality assurance consultant.

2. Executive Sponsor Committee

The executive sponsor committee is responsible for owning the SC-CMS project, identifying and resolving all policy issues that affect the project and dealing with the detailed business aspects

of the project. The committee should be composed of representatives from AOC executive management; judges; court administrators; court clerks; and other organizations with a stakeholder interest in the project. The committee meets regularly, and every member must be able and willing to make decisions on technology and policy. Committee members should have experience with, or received training in, business process change management and executive-level project management. A clear and thorough committee charter should be developed. The AOC executive sponsor chairs the committee.

3. Executive Sponsor

The project's executive sponsor represents the AOC and is ultimately accountable for the project's success. The AOC executive sponsor must be committed to the change and must be willing to mandate business process alignment within SC-CMS to ensure that the new SC-CMS internal business processes and the section's IT services support the new policies, processes, and practices being developed for the SC-CMS.

4. State Project Manager

The state project manager represents the state in monitoring and directing the SC-CMS project's overall operations; the day-to-day activities of the integrator and other project consultants; and the software contracts involved in the project. This position facilitates organizational and business changes that will be required for successful implementation of system changes. The state project manager ensures that major issues affecting project scope, schedule, budget, or operations are resolved as quickly as possible.

The state project manager reports progress, issues, and risks to the executive sponsor committee.

5. Independent Quality Assurance Consultant

The Independent quality assurance provides independent, external project oversight to the project's executive sponsor and executive sponsor committee. This consists of independent, unbiased information about the project's status, performance trends, and forecasts for completion. An outside consulting firm will provide quality assurance services. The independent quality assurance consultant reports to the executive sponsor and the executive sponsor committee.

B. Project Management Structure

This section describes the organization of the project team during the Phase II – Configuration and Validation. The project organization will change when the SC-CMS enters the Phase IV – Pilot Implementation phase.

1. State Project Manager

In addition to this position's project governance responsibilities, described above, the state project manager shares the critical project role in the SC-CMS project along with the integrator project manager. It is the position that "makes it all happen" and is the key link between the project and SC-CMS's goals, strategies, and resources.

2. Solution Provider Project Manager

The solution provider project manager shares project management responsibilities with the state project manager. The position is filled by a senior court system implementation project manager

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with extensive experience and a successful track record in all aspects of projects of similar size and scope.

The SC-CMS project's success is contingent upon the technical, organizational, and change management expertise of the solution provider, coupled with their proven capabilities in public sector implementations. The solution provider project manager reports to the state project manager.

3. Project Team Composition – Pre-Implementation

The following diagram illustrates the proposed composition of the project team.

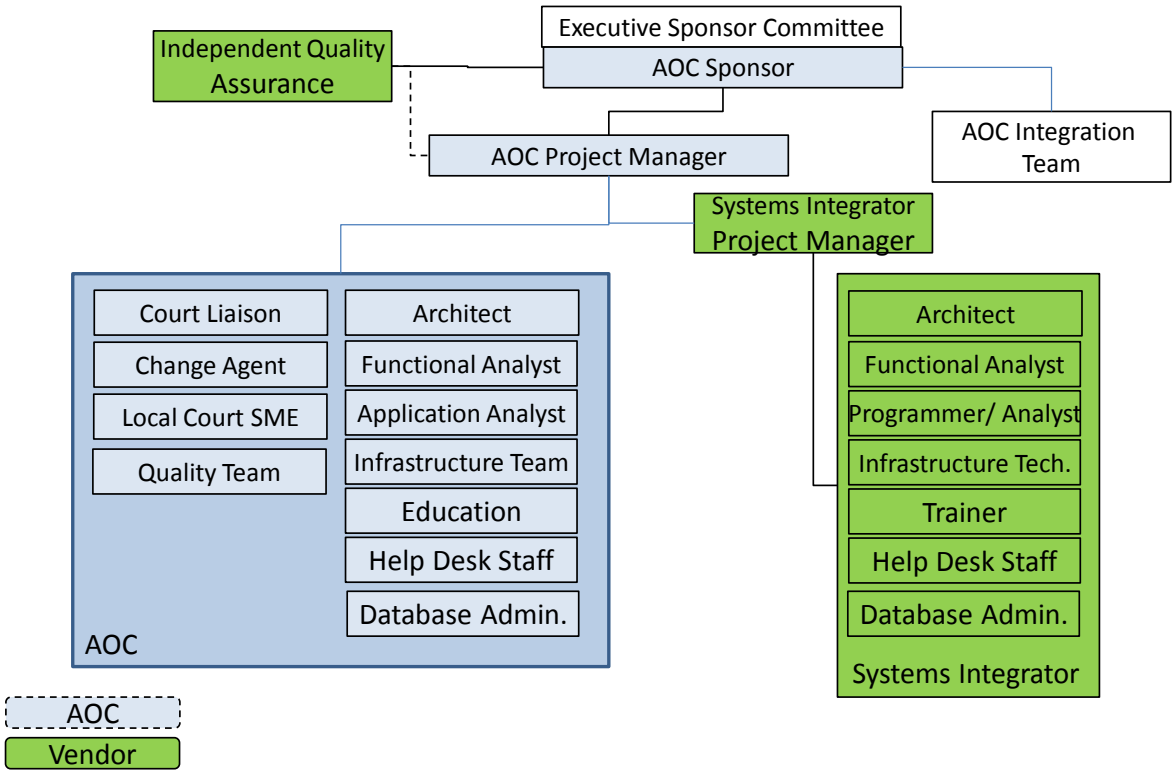

Figure 13 – Proposed Project Team

The proposed project consists of AOC staff and vendor professional services staff.

- **AOC Project Manager** – Responsible for ensuring the project achieves all project outcomes, integrating and coordinating all project resources, coordinating communication with stakeholders, AOC groups, and the solution provider.
- **Independent Quality Assurance** – Independent contractor that provides independent quality assurance assessments for the project. Reports to the AOC sponsor.
- **Solution Provider Project Manager** – Responsible for all tasks and deliverables that the solution provider team delivers to AOC. Coordinates with the AOC project manager to meet the AOC resource needs.
- **Enterprise Architect** – Responsible for integrating all of the components of the systems.
- **Functional Analysts** – Responsible for analyzing and configuring functional aspects of the application.

- **Programmer/Analysts** – Configure and customize application software.
- **Application Analyst** – Understand application internal structures and operations.
- **Infrastructure Technician** – Support the computers servers, databases, and other technology components.
- **Trainer** – Business analyst that train AOC and court staff.
- **Help Desk Staff** – Respond to user questions and problems.
- **Database Administrator** – Technical staff that supports the database management system.
- **Court Liaison** – An AOC staff member who acts as a "go-between" between local courts and the AOC project staff.
- **Change Agent** – An AOC staff member that helps AOC and local courts understand and assimilate change.
- **Local Court SME** – User staff assigned to the project that have experience and deep understanding of local court procedures. These staff will assist the project in many capacities, from configuring the application to participating in user acceptance testing to assisting with training and implementation activities.
- **Quality Assurance Team** – AOC quality assurance staff responsible for systems and unit testing.

4. Project Composition – Implementation

The following diagram shows the composition of the project team during the implementation period.

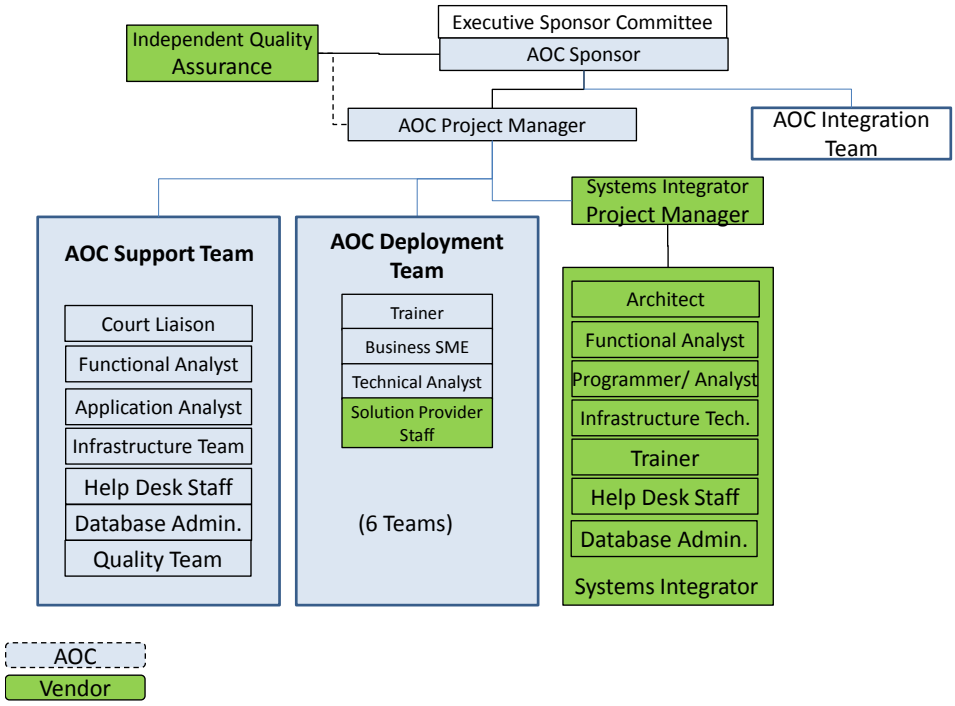

Figure 14 – Project Organization for Implementation Phase

C. Project Operations

The implementation of a statewide information system requires strong project management. AOC is establishing a Project Management Office (PMO). Project management within AOC

requires substantial coordination involving several disciplines. The Project Management Institute has published internationally recognized program and project standards and guidelines. AOC's PMO seeks to apply these standards in management of their change initiatives.

The significant aspects of the enterprise-wide project management model are described below.

1. Program Management

Program management is the centralized coordinated management of a business program to achieve its strategic benefits and objectives. Program management encompasses several broad themes, including benefits management, stakeholder management, and program governance. Managing multiple projects by means of a program allows optimized or integrated cost, schedules, and effort; integrated or dependent deliverables across the program; delivery of incremental benefits; and optimization of staffing in the context of the overall program's needs. Projects may be interdependent because of the collective capability that is delivered, or they may share a common attribute such as a client, department, technology, or resource.

2. Project Management

Project management plans, organizes, controls, and leads the delivery of specific tangible outcomes and deliverables. They have specific scopes, timelines, and resource commitments. Projects are focused on execution and delivery and try to minimize change. Successful projects follow the best practices outlined in the PMBOK. They proceed through the project initiating, executing, monitoring, controlling, and closing processes, usually following standardized project methodologies.

Projects follow a defined life cycle and methodology (following the PMBOK standard) as shown in the following table. These processes follow standard patterns for organizing every aspect of the project. Each project process area has its own generally accepted industry-standard tools and techniques.

The PMI has established best practice standards for portfolio management, program management, and project management. Portfolio management is the link between business aspirations and reality. Defining and achieving an organization's mission and vision takes skill, knowledge, and the ability to use limited resources for maximizing gain.

Scope Management	**Cost Management**	**Time Management**
Human Resources Management	**Project Integration**	**Communications Management**
Quality Management	**Risk Management**	**Procurement Management**

APPENDIX H – Project Management Operations provides an overview of the PMBOK processes including the critical project processes.

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V. Resource Requirements

This section identifies the resource requirements for the migration strategy. It includes sections for:

- Procurement plan.
- Human resource plan.

A. Procurement Plan

The following table outlines the procurement requirements for this project.

Procurement	Description	Commercial Vendor Option	Transfer Application Option
Commercial Application	RFP to acquire a commercial court application, deployment services,, and support and maintenance services	X	
Application Software Development Services	RFP to select a firm that will manage and staff the development of software to build an application similar to Pierce County LINX application		X
Quality Assurance Services	RFP to acquire independent quality assurance services	X	X
Infrastructure Acquisition	Acquire hardware, software, and peripheral equipment to support the selected application approach.	X	X

B. Human Resource Plan

This section identifies the human resource requirements for the different approaches.

1. Commercial Application Approach

The following table identifies staffing needs for the implementation phase of the project.

Project

Position	FTE	Comments
Project Manager	1	AOC project manager full-time throughout project.
Functional Analyst	6	AOC business and functional analyst.
Database Administrator (DBA)	1	AOC Database.
Quality Assurance Analyst	2	• AOC QA staff during project. • Oversee and participate in systems testing and user acceptance testing activities.
Infrastructure Technician	1	Support infrastructure implementation.
Business Subject Matter Experts	4	• AOC identifies court staff to participate in the

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Position	FTE	Comments
		project. • Provides business knowledge. • Supports testing-related activities. • Supports court training preparation and delivery.
AOC Training Staff	As Needed	• Consult regarding development of training plans and materials.
AOC Communications Staff	As Needed	• Support project communication requirements with constituents.
AOC Application Analyst	As Needed	• Consults with the vendor regarding application implementation and configuration issues.
AOC Security Technicians	As Needed	• Consult regarding security implementation.
AOC EA Staff	As needed	• Consult regarding EA.
AOC Infrastructure management and staff	As Needed	• Consult regarding infrastructure implementation.

Ongoing Maintenance and Support

Position	FTE	Comments
Project Manager	0.5	AOC project manager.
Programmer Analyst	2	AOC employee.
Database Administrator	0.25	AOC employee.
Quality Assurance Analyst	0.5	Half-time position to provide quality assurance for the changes made to the application after implementation.
Infrastructure Technician	0.5	AOC employee.
SME	4	• AOC identifies court staff to support ongoing use of the application. • Provides business knowledge. • Supports testing-related activities. • *Supports court training preparation and delivery.*
Help Desk Technician	2.5 FTE	

2. Transfer Application Approach

Project

Position	Quantity	Comments
Project Manager	1	AOC project manager full-time throughout project.
Functional Analyst	6	AOC business and functional analyst.

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Position	Quantity	Comments
Programmer Analysts	9	Contract programmers.
Database Administrator (DBA)	1	AOC database.
Quality Assurance Analyst	2	• AOC QA staff during project. • Oversees and participates in systems testing and user acceptance testing activities.
Infrastructure Technician	1	Supports infrastructure implementation.
Business Subject Matter Experts	4	• AOC identifies court staff to participate in the project. • Provide business knowledge. • Support testing-related activities. • Support court training preparation and delivery.
Technical Writer	1	• Develop technical documentation.
AOC Training Staff	As Needed	• Consult regarding development of training plans and materials.
AOC Communications Staff	As Needed	• Support project communication requirements with constituents.
AOC Application Analyst	As Needed	• Consults with the vendor regarding application implementation and configuration issues.
AOC Security Technicians	As Needed	• Consult regarding security implementation.
AOC EA Staff	As needed	• Consult regarding EA.
AOC Infrastructure Management and Staff	As Needed	• Consult regarding infrastructure implementation.

Ongoing Maintenance and Support

Position	FTE	Comments
Project Manager	0.5	AOC project manager.
Programmer Analyst	2	AOC employee.
Database Administrator	0.25	AOC employee.
Quality Assurance Analyst	0.5	Half-time position to provide quality assurance for the changes made to the application after implementation.
Infrastructure Technician	0.5	AOC employee.
SME	4	• AOC identifies court staff to support ongoing use of the application. • Provide business knowledge. • Supports testing-related activities. • *Supports court training preparation and delivery.*
Help Desk Technician	2.5 FTE	• Provides first levels of support to court users.

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VI. Migration Impacts and Implications

Implementation of SC-CMS will have a number of positive, long-term impacts to the court community. However, the changeover will likely impact court operations and the community in less immediately positive ways as well. Understanding these impacts will help the court and the AOC to mitigate them. This section identifies the impacts and implications for key stakeholder groups, including:

- Courts.
- Clerk operations.
- AOC operations.
- Technology.
- Customers.

A. Impacts to Court Operations

Moving the SC-CMS will impact the local superior court organization and operations. These business impacts to include:

- **Implementation Preparation** – Implementing a new system will require the court administrator and judge to participate, to some extent, in the configuration of the application to meet their local business requirements and context. They will also participate in training and orientation activities. These are important but significant investments that have to be made by court leadership. These activities will need to be scheduled and may disrupt court operations.
- **New Business Application** – Court operations staff will learn a new computer application to support scheduling, calendaring, case-flow management, and other court functionality. Court resources will be consumed to train on these new patterns of business for court operations. Initial operations under SC-CMS will not be as efficient as previous operations, while staff gain proficiency.
- **Standardization of Functionality** – Implementing a common system will result in less unique localization of functions in individual courts. A single application will standardize many functions across local courts. This will also drive changes in local processes and will require courts to adopt and adapt to these statewide standard processes.
- **New Data Structures and Record Keeping** – Implementing SC-CMS will maintain court data with different files and different codes than those currently used in SCOMIS and other court applications. Local court staff will need to develop an understanding of these changes to aid in data conversion. In addition, they will need to modify their coding practices.
- **Testing** – Local court staff will be called on to test the SC-CMS as it is configured, with their court's data converted for their operations. This will be a new duty, requiring training and staff time.
- **Structured Correspondence Systems** – The system will provide a more standardized correspondence management and form-generation process that is tightly integrated with the system. The system will generate more notification and provide better access to forms. This will facilitate faster turn-around of court documents and streamlined processes to facilitate correspondence and document handling. A significant amount of effort will be required to organize and standardize correspondence management systems.

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B. Impacts to Clerk Operations

The court operation impacts described in the previous section will also affect court clerk operations. In addition, several court clerk impacts are expected. They include.

- **New Roles** – Calendaring, scheduling, and case management functions performed by the clerk will be different using SC-CMS. The application is likely to leverage collaboration between the clerk and other members of court community. The clerk may be called on to enter less data. Clerk staff might be called on to confirm data entered and submitted to the record by others.
- **New Data Entry Screens** – The SCOMIS data-entry screens will be replaced by the new application's screens. There may be more screens or fewer screens used to perform clerk functions. During initial operations, it is likely that the clerk staff will be less efficient than before the changeover.
- **Financial Systems** – The current system does not include financials in its scope. The court clerk will need to interact with the AOC financial systems and/or the local financial system to support case-related financial processing. This may result in duplicate entry of data in some cases.

C. Impacts to AOC Operations

AOC will be responsible for managing the implementation of the application and overseeing the support and maintenance of the application. These responsibilities include the project management, management of change, communications management and stakeholder management that are discussed in other sections of this document. Several changes will result in substantial changes to AOC. These include:

- **Project Management Office** – The implementation project will be a substantial multi-year, multimillion-dollar project. This would require a full-time project manager during implementation and a half-time manager on an ongoing basis to manage the support and maintenance issues associated with the project.
- **Business Liaison** – The communication with judges, court administrators, and court clerks will require substantial effort from the Business Liaison group.
- **Portfolio Management** – The portfolio management office would need to integrate the multiple AOC projects that may affect the superior court management system. EA project components and other AOC initiatives may affect this project.
- **Infrastructure** – The infrastructure organization will be responsible for working with the solution provider to implement the necessary computer servers, network components, database infrastructure, and support components.
- **Quality Assurance** – Quality assurance will be involved in overseeing the systems and user acceptance testing and validating that the application is ready for use in a production environment. They will also need to validate ongoing support and maintenance changes to ensure that the application continues to operate correctly.
- **Architecture and Strategy Section** – The application will be a major enabler for the EA. This group will need to coordinate the development and implementation of the EA components as the application is configured for Washington courts.
- **Data Warehouse Unit** – The solution provider will provide some data warehousing capability, or the EA will provide data warehouse services.
- **Development Unit** – Some customization is expected with a commercial application. A transfer option would result in extensive system development, design, and programming. Either case would require substantial involvement of the development unit to manage

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and oversee the project activities during implementation and to provide ongoing support and maintenance.

- **Operations** – A major implementation of an application of this magnitude will affect operations. AOC will need to change its legacy applications to adapt to new information exchanges. Since the application will likely be web based, the web unit will need to be involved.
- **Judicial Services Division –**Training and court service adaptation will require involvement of court services as this application will be configured and deployed to support courts throughout the state.
- **Management Services Division –** This project will involve several types of procurement, including professional service, technical infrastructure, and potential agreements between different court entities.

D. Impacts to Technology

Implementing a new computer application will affect AOC's technology and, potentially, local county technology. This section identifies technology impacts:

- **New Technology Software and Components** –AOC may have to assimilate new servers and software components into its technical operating infrastructure. AOC will have to become educated on these new components in order to support and maintain them.
- **Changes in Interfaces** – Interfaces supported by JIS will continue to be supported, since the SC-CMS will provide JIS with updates. Transition from JIS to the SDR will impact these interfaces. These impacts are detailed in the Integration Evaluation Report. Any local interfaces with local applications impacted by the implementation of SC-CMS will need to be evaluated for replacement.
- **Network Impact** – The application will be a sent as web-based html transmissions, which are larger than the relatively small CICS transactions that the courts use today.
- **New Business Application for AOC** – AOC will have to learn and support a new commercial business application. If a commercial application is selected, AOC will play a different role than the support and maintenance role they currently play today. They will work with a commercial firm to support and maintain the system.
- **New Business Application for the Local Court** – SC-CMS represents a new application in the portfolio of applications employed by the local court and its community. The court will need to consider how this new system impacts this portfolio. They will adjust their suite of applications and, if appropriate, interfaces, to best support their operations.
- **Help-Desk Impact** – The Help Desk will be impacted as a new statewide system is implemented. Their activity will increase as change is introduced in to the courts.
- **EA Implementation** – This application will require the implementation of many components of the EA. The implementation of an application that can be adapted to service-oriented architecture will allow information exchanges through the information networking hub and the creation of a standalone SDR. While these are outside the scope of this project, they will have a significant impact on the AOC IT operations approach.

E. Impacts to Customers

The customer experience should stay relatively the same, as the basic functions of the superior court operations will stay the same. Potential impact should, overall, be positive for court constituents. Training and implementation activities may reduce available court staff. Initial

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operations under SC-CMS may suffer some impact as the staff learns to optimize the new application. This may translate into some services delays during cut-over and initial operations. However, this should improve over time.

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VII. Migration Risk

This section identifies the risk associated with the migration strategy. This section contains the following topics.

- Risk Assessment.
- High Risks.

A. Risk Assessment

MTG applied a standard risk framework that contains 90 typical risks associated with implementing information systems in public organizations. APPENDIX I – Risk Scorecard contains the detailed assessment. The following summary risk profile results from this evaluation.

Average Rating Legend
High – High Risk Area – Mitigation Plans Needed
Medium – Medium Risk – Needs Watching
Low – Low Risk

Risk Category	#Low	#Medium	#High	Summary of High Risks
Process Standards	**46**	**19**	**16**	
Business Mission and Goals	1	2	2	Project fit to customer organization.
Customer/User	1	3	1	Customer Acceptance
Decision Drivers	2	2		
Development Environment	5		1	Tools Availability (EA)
Development Process	6	2	1	Early Identification of Defects
Organization Management	2	3	2	Resource Conflict, Customer Conflict
Product Content	3	1	3	Requirements Stability, Implementation Difficulty, System Dependencies
Project Management	12	3	1	Project Management Planning
Project Parameters	4	2	3	Project Size, Budget and Resource Size, Development Schedule
Project Team	6	1	2	Team Member Availability, Experience With Process
Technology	4			
Product Standards	**4**	**3**	**2**	
Deployment	3	2	2	Customer Service Impact, Data Migration Requirements
Maintenance	1	1		

B. High Risks

This section discusses each of the high risks identified in the assessment.

1. Project Fit to Customer Organization.

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The project enables and supports business operations and helps the organization achieve its outcomes and business objectives.					
Risk Discussion	A significant amount of localization and variability exist between superior court operations.					
Potential Impact	Courts may be hesitant to standardize court practices and rules resulting in increased customization and cost to accommodate unique court rules. This may result in schedule delays and increased costs associated with customizing the system to accommodate unique business rules or practices.					
Mitigation	AOC needs to work with courts to adopt as much standardization as possible.					

2. Customer Acceptance

Rating		**Impact**	High		X	
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	Users understand the systems, services, and processes. Procedures are in place to enable the users to review and accept appropriate deliverables.					
Risk Discussion	The application must support and improve current operations.					
Potential Impact	If users reject the system because it does not meet expectations, the project will be a failure and state funds will be wasted.					
Mitigation	An effective communication plan is critical. High user involvement and leadership may be needed to promote and embrace the new system.					

3. Tools Availability

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	Appropriate technical tools are available to support personnel that are implementing, supporting, and maintaining the systems, services, and processes.					
Risk Discussion	The AOC is attempting to implement their EA concurrently with the SC-CMS application. Currently there are significant issues with implementing the EA, including the lack of key systems infrastructure and services. AOC currently has no defined schema for accomplishing the data exchanges					

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	necessary to integrate the SC-CMS application with the EA services.
Potential Impact	Possible scheduling delays for implementing the SC-CMS due to trying to figure out the technical integration with the EA.
Mitigation	AOC needs to determine reasonable objectives relating to the EA and either invest in the necessary technical tools or delay the EA implementation until after the SC-CMS has been implemented.

4. Early Identification of Defects

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The project has implemented procedures to identify defects and deficiencies early in the process so that the project can correct problems without causing disruption.					
Risk Discussion	Because of court localization and the variances that exist among courts, the risk exists that the basic configuration of the application will be insufficient to support all localization and operational variances. This can result in excessive change orders and delays in implementation while the application is reworked to support correction of deficiencies.					
Potential Impact	Potential costs overruns and schedule delays.					
Mitigation	Expend effort to identify variances. Promote standardization, particularly in smaller courts.					

5. Resource Conflict

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	Organizational resources are reasonably available to the project sufficient to complete tasks and maintain the project schedule.					
Risk Discussion	AOC has many projects and initiatives that require AOC staff support. The projects are competing for resources.					
Potential Impact	Resource conflicts usually result in schedule delays.					
Mitigation	Establish priority for SC-CMS initiative. AOC can focus on the SC-CMS project.					

6. Customer Conflict

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The objectives and outcomes are consistent among customers, stakeholders, and the project team.					
Risk Discussion	The project has multiple customer sets that may have conflicting interests					

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	and needs. Some conflicts of interests have been observed.
Potential Impact	Customer conflict can result in schedule delays and cost overruns in having to rework systems configuration and customizations.
Mitigation	Develop communication channels to ensure that information is shared with all stakeholders and that they are included in decision making.

7. Requirements Stability

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The requirements are reasonably stable. Change requests are within expected tolerances.					
Risk Discussion	This is similar to other risks in which requirements may not be completely elicited and deficiencies are found in user acceptance testing or even later in the pilot implementation phase.					
Potential Impact	Requirement instability results in change orders that cause cost overruns and schedule delays.					
Mitigation	Manage the scope of the project and place emphasis during the vendor gap analysis of the importance of identifying all requirements and variances in the requirements.					

8. Implementation Difficulty

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The implementation of systems, services, and processes is well defined and not overly complex.					
Risk Discussion	The challenge of implementing the application in 32 courts in 3 years will require substantial coordination and effort. AOC will need to build six deployment teams. Implementing s standardized court system in a very decentralized environment will also be challenging.					
Potential Impact	Implementation difficulty may result is project schedule delays and cost increases.					
Mitigation	The complexity can be reduced by establishing a limited number of standard configurations and substantial project planning. AOC needs to prepare early to build capable implementation teams.					

9. System Dependencies

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	External systems dependencies are well defined and have been validated. No external dependency will cause project delays.					

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Risk Discussion	AOC has several initiatives that may affect the SC-CMS implementation. These include EA implementation, implementation of the SDR, document management, and common court rule standardization. These can compete for the project critical path.
Potential Impact	Potential for project schedule slippage if the SC-CMS has to wait for external AOC initiatives or projects to produce required products.
Mitigation	Identify all system dependencies and establish an integrated schedule. Establish a process for early identification of schedule slippage to mitigate the risk.

10. Project Management Planning

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	Project management planning includes the project planning components suggested by PMBOK.					
Risk Discussion	This risk is similar to the system dependencies risk, described above. It will be essential to develop a complete work breakdown structure and schedule of all project tasks, dependencies, and external initiatives.					
Potential Impact	Potential for project schedule slippage if the SC-CMS has to wait for external AOC initiatives or projects to produce required products.					
Mitigation	Identify all system dependencies and establish an integrated schedule. Establish a process for early identification of schedule slippage to mitigate the risk.					

11. Project Size

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The project size is manageable within the capability of the project manager and the agency.					
Risk Discussion	The project size is greater than $30 million and will require 5 years to complete.					
Potential Impact	Large projects by their natures are risky. Leadership and priorities can change. Many problems may be encountered. Cost and schedule overruns are possible.					
Mitigation	Share risk with a solution provider through contracting. Fiercely maintain scope. Close oversight and management involvement in the project will be critical.					

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12. Development Schedule

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The project development schedule is well defined, contains a critical path, and is reasonably achievable.					
Risk Discussion	The overall project schedule is complex with a potential for external project dependencies. All of the systems dependencies are not known or developed. Managing a coordinated schedule with many moving parts will be a substantial challenge.					
Potential Impact	Schedule slippage and potential quality problems may develop as the project attempts to stay on schedule. Projects often have to make trade-offs to maintain their schedule and budget.					
Mitigation	Develop a comprehensive work break down structure including all external project dependencies. Organize a program management office to coordinate and integrate all of the initiatives.					

13. Team Member Availability

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	Project team members are available and stable. Functional project team members are allowed to complete project activities given competing responsibilities.					
Risk Discussion	AOC staff is observed to be working on many projects and functional assignments simultaneously. State furloughs affect staff availability.					
Potential Impact	Delays in project tasks due to project staff lack of availability.					
Mitigation	Assign dedicated staff to the project where appropriate. Establish a priority system for which tasks and projects receive emphasis.					

14. Experience With Process

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The project team has experience with the configuration and operation of the systems, processes, and services. Knowledge transfer is planned.					
Risk Discussion	This will be a new computer system and implementation exercise for most AOC staff. They do not have experience working with vendors or implementing large commercial based systems. Many of the initiatives (EA) are new concepts that will require substantial skill development.					
Potential Impact	Potential resistance to change in learning and applying new systems, and processes. This can lead to conflict that can lead to schedule slippage.					

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Mitigation	Implement management of change processes for AOC staff. Ensure good communication occurs with the vendor.

15. Customer Service Impact

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	The impact to customer operations is reasonable.					
Risk Discussion	The business operations may significantly change as a new system is implemented. Statewide standardization will also change local court practices. Courts have heavy workloads that will have to be managed while making the change.					
Potential Impact	Courts have to support the basic business operations of the court. Schedule delays potentially can arise as court personnel focus on necessary operation issues that compete with project activities.					
Mitigation	Provide early clear information and expectations of what will be required of the court in transitioning to a new system. Plan sufficient contingency to accommodate court business operational needs.					

16. Data Migration Requirements

Rating		**Impact**	High			X
			Medium			
			Low			
				Low	Medium	High
				Likelihood		
Risk Expectation	Data migration and conversion are planned, configured, and validated.					
Risk Discussion	Substantial data conversion and migration will be required for AOC data as well as for local court data. In addition, data exchanges between existing systems and courts make be required. Data conversion and migration is always a difficult process for systems migrations and often compete for the critical path. It is unknown how much local court data is required to be captured and converted from local court operations.					
Potential Impact	Schedule delays associated with dealing with unexpected data issues are possible.					
Mitigation	The solution provider and AOC need to place emphasis on data conversion and migration planning to ensure they understand the complete task of data migration.					

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Appendix A – Functional Scope

The scope of the Superior Court Management Feasibility Study (SCMFS) project is based upon current and desired operations, as well as the functional boundaries of existing systems with which the future solution will interact.

1. Scope Diagram

The following diagram provides a depiction of the scope of business operations conducted by the Superior Courts that are supported by JIS systems and are included in the SCMFS project. Top-level boxes indicate the major functional areas associated with case management operations. The boxes beneath them indicate sub-functions; white boxes indicate that the sub-function is in the SCMFS scope, gray boxes indicate sub-functions that are out of scope.

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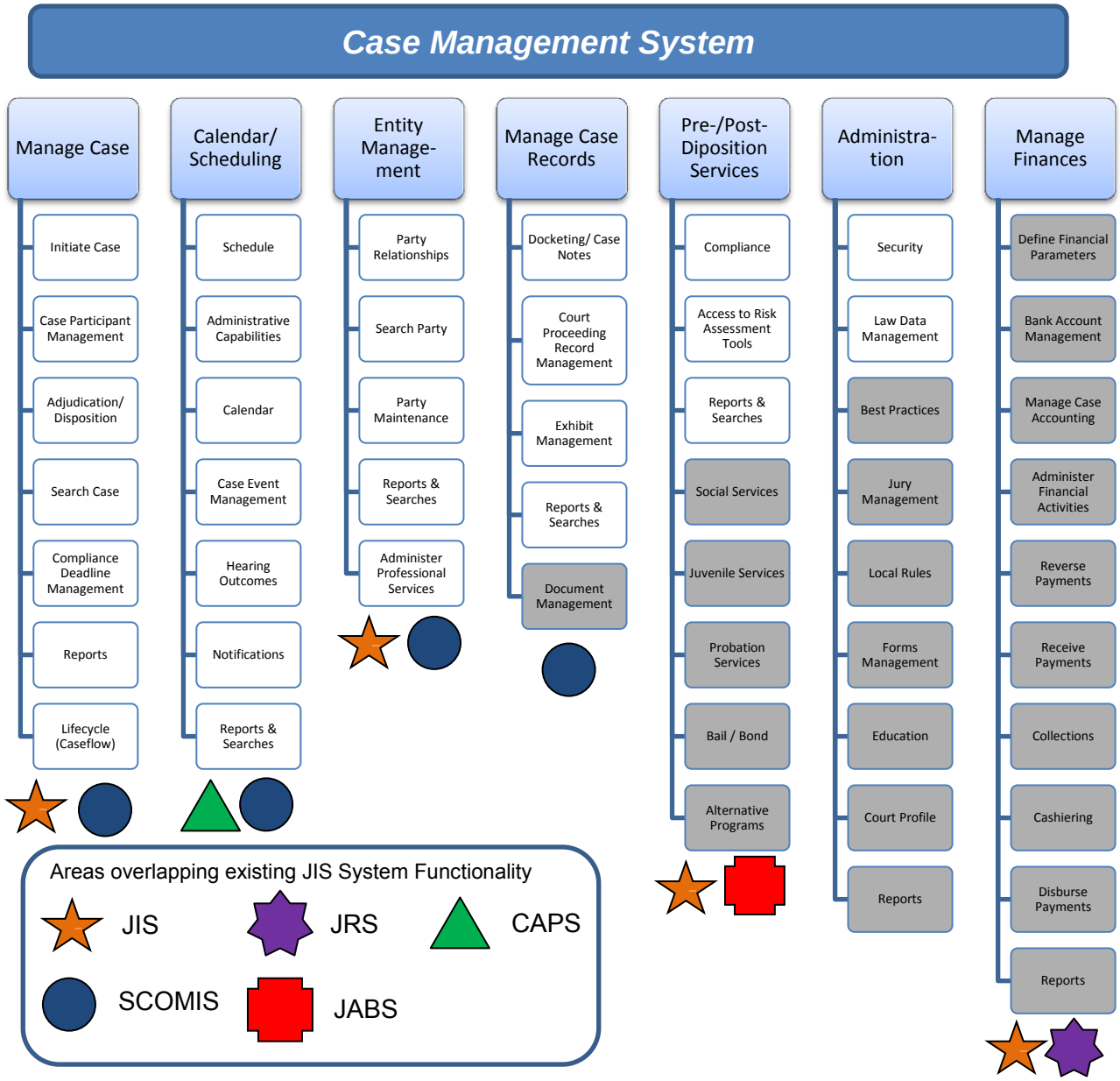

Definitions for each item in the diagram are provided in the following subsection.

2. In-Scope Category Definitions

The functions described in this subsection are business functions that are considered in the scope of the SCMFS. Each of the functions below corresponds to a "bubble" in the SCMFS Scope Diagram shown in the previous subsection.

a. Manage Case

Capabilities listed are focused on the processes associated with Superior Court case management. These capabilities are broke down into seven sub capabilities.

- **Initiate Case –** The Initiate Case capability focuses on the activities of creating a case in the Superior Court. This capability is broad in scope and covers Superior Court: civil, juvenile, and criminal cases.

- **Case Participant Management –** The Case Participant Management capability involves assigning specific people to cases. This assigning of people actually links participants defined in Party Management to actual cases. Activities include the addition, maintenance, removal, and sealing of participants on a case seal (participant) for a case, and expunging a party/person from a case.
- **Adjudication/Disposition –** The Adjudication / Disposition capability supports the decision making process in the courts. It is made up of the processes of entering the resolution and completion outcomes of a case.
- **Search Case –** Describes the ability to search for case information, and presents the results in a useful and meaningful way. Includes at a minimum those capabilities currently supported by the SCOMIS index.
- **Compliance Deadline Management –** Capability to track and enforce due dates and obligates for court processes. An example of this is the establishment of a due date for the exchange of witness lists and ensuring if it is done.
- **Reports –** General Reporting and Searching capabilities used to support Case Management activities.
- **Life Cycle –** The sub capabilities that make up the life cycle capability support the work flow process of the court. Tracking and monitoring milestones, setting statuses, sealing cases: link/consolidate, milestones, status, seal case.
    - "Case flow management is the court supervision of the case progress of all cases filed in that court. It includes management of the time and events necessary to move a case from the point of initiation (filing, date of contest, or arrest) through disposition, regardless of the type of disposition. Case flow management is an administrative process; therefore, it does not directly impact the adjudication of substantive legal or procedural issues."
    - "Case flow management includes early court intervention, establishing meaningful events, establishing reasonable timeframes for events, establishing reasonable timeframes for disposition, and creating a judicial system that is predictable to all users of that system. In a predictable system, events occur on the first date scheduled by the court. This results in counsel being prepared, less need for adjournments, and enhanced ability to effectively allocate staff and judicial resources."[5]

b. Calendar/Scheduling

All aspects of Calendaring and Scheduling for courts are captured in this capability. This capability is broken down into six sub capabilities.

- **Schedule –** Scheduling capabilities deal with the details of scheduling court resources, and participants for a case/hearing: assigning resources and producing reports.
- **Administrative Capabilities –** Administrative capabilities related to Calendaring/Scheduling are focused on scheduling resources. This includes Judicial Officers, equipment, Court Rooms, Court Resources, Interpreters, etc. It also involves the timing of scheduling events such as divorce proceedings which are held the third Wednesday of the month. These events are typically completed as a Court Administration function: set up, manage caseload, manage resources – establish available times (Courtrooms, Judicial Officers, etc.), delete resources, calendar profile/ date – session profile.
- **Calendar –** This capability includes the creation, formatting, maintenance, and distribution of court calendars for each type of hearing and conference. Calendars, as

[5] *Caseflow Management Guide*, page 1, State Court Administrative Office of the Courts, Lansing, Michigan, Undated.

considered within this context, may also include Alternative Dispute Resolution (ADR) events such as mediation, as well as other events that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, or evidence is considered by a Judicial Officer, magistrate, referee, commissioner, or other judicial officer in court events such as trials and hearings, lower court reviews, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events.

The scheduling of hearings and conferences (see Scheduling Function) provides the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the Docketing and Related Recordkeeping Function, Judicial Officers' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by re-generating all or part of the calendar to reflect scheduling changes, entering or updating calendar notes, making changes to the format or organization of calendars. They then generate the updated calendars for electronic or printed distribution.

The ability to create and maintain blocked calendar entries is included here. There includes the functionality to set limits on the number events to schedule in a block and to override that limit when needed. The functionality to move a single event or the entire block of events in a single action is included here also.

Calendaring is the activity of scheduling cases for hearings before the court and consists of the coordination of case actors (judges, attorneys, litigants, interpreters, etc.) and physical resources (court rooms, AV equipment, etc.) based on a set of conditions that include case type, hearing type, required actors, and required physical resources. For example, a request for a motion hearing in a domestic case before Judge A (conditions) would result in the hearing being set on the next future date that Judge A is scheduled to hear domestic case motions).

A calendaring system supports calendaring through automation of case hearing scheduling based on a set of rules (conditions). A calendaring system produces reports that details all cases scheduled for a particular date, time, and place and reports that detail all of the scheduled hearings for a particular case. A calendaring system generates notices to individuals regarding the scheduling of hearings in a particular case.

Calendaring is a sub-activity of case management. That is, you may have a calendaring system without having a case management system. A case management system presumes the existence of a calendaring system as either part of the case management system or through the exchange of data with a separate calendaring system.

- **Case Event Management –** Case Event Management focus on those activities that support management of case events. This includes confirmation of notice/warrant service, all case/court papers have been filed timely, and that all actions have been completed before a participant steps into the courtroom. These activities help facilitate all the prehearing/pretrial events. At a minimum, these activities mirror what is done in the SCOMIS “Case Schedule Tracking”/”Case flow Management Track” functionality.
- **Hearing Outcomes –** These capabilities revolve around the documentation of events (record the outcomes) of hearings: actions taken, and follow up on actions to perform. Recorded outcomes of events include clerk minutes, capturing the outcome of the event (Continuance, Stricken, Court Order, etc.) in a searchable/selectable format, not just a note in a docket entry.
- **Notifications –** The capabilities associated with Notifications revolve around the functions of scheduling and monitoring the disbursement of notifications from court to participants: confirmation, monitor, verification, and recording whom they are sent to. The capability of parties to confirm or strike motions electronically when responding to notifications.

- **Reports and Searches –** This capability support the reporting needs of the court related to public calendaring information, scheduling notice to send out, notifications sent to participants for dates due in court or information required, and other notification functions: public, confidential, notices, see CAPS and other systems, calendar load, court dates sent to participants. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

c. Entity Management

Capability captures all business capabilities related to the tasks associated with Party Management. This includes searching, identification, adding, deleting, association with other Parties, and related processes in the court environment. A Party is any entity associated with a court case or court activity. This includes, but is not limited to, Judicial Officers, businesses, victims, litigants, attorneys, defendants, and other court staff, etc. There four sub capabilities associated with Party Management.

- **Party Relationships –** The Party Relationships capabilities covers the activities needed to tie party members together indicating some form of relationship and maintaining that relationship. This can be Parent/Child, Guardian/Participant, Attorney/Client, or other relationship: add, update, AKA maintenance.
- **Search Party –** The Search Party capability allows for the searching for Parties based on a variety of variables. The Party information may reside in any number of physical databases: phonetic, alpha, weighted. Includes at a minimum those capabilities currently supported by the SCOMIS Index.
- **Party Maintenance –** The Party Maintenance capability covers the activities related to keeping Party (Person) data current and accurate. This includes addition of new information to a Party and updating existing information as it changes: add party, end dating party, seal party, update party, and update party status. Official and Organization Person records are part of the JIS Person Database. An official/organization person record must exist in the system before that person can be granted security as a JIS user or be associated with a case as a participant. Judicial Officers are added as officials in a court when they fill a seat on the bench at a particular court, and removed when they leave a court and the time for appeal of cases has passed.
- **Reports –** Reports for Party Management fall into two categories. They are either ad hoc reports or Structured / Standard reports. Ad hoc reporting includes reports that provide one-time answers on a non-scheduled / non-recurring basis. Structured/ Standard reports are produced on a regular basis and are produced more than once. Both of these reports only provide information related to Party information.
- **Administer Professional Services –** The Administer Professional Services capability deals with inventorying the social services that are available to case participants. This includes activities such as ensuring the social service agency complies with the rules and regulations, and the inventory of available organizations is kept current, and in some cases that the individual providers are qualified. This was moved under Entity Management since a service agency is just another Entity that is inventoried/managed by the courts.

d. Manage Case Record

The Manage Case Record capability is focused on the management of court records, including document-indexing (docketing), managing and processing exhibits, and management of court proceeding recordings. There are four sub capabilities in the Manage Record capability that are in the scope of this project.

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- **Docketing/Case Notes –** Docketing is the creation and maintenance of the legal record of the index of court actions taken and documents filed in a particular case. A docketing system is the creation and maintenance of that legal index record in electronic form.

NOTE: As a general rule and practical matter, calendaring and/or case management systems are highly dependent upon the data and information in a docketing system. For example, a summary judgment motion is filed and the official record of that document is created in the docket. The motion also serves as the request for court time to be calendared. The motion also serves as the date marker relative to a case management rule regarding the sequencing and timing of the request and scheduling of the hearing for purposes of compliance monitoring and enforcement.

- **Court Proceeding** *Records Management* **–** Court proceeding record management capabilities focus on the maintenance, indexing, access, and deletions/destruction of the recordings of court proceedings.
- **Exhibit Management –** Exhibit Management capabilities focus on the receiving, storing, and destruction of court exhibits. These physical assets are to be tracked.
- **Reports and Searches –** The Report capabilities support record management functions/activities through ad hoc reporting and standard reports to support mandatory reporting requirements. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

e. Pre-/Post-Disposition Services

Capabilities related to activities that take place before a case is heard and after a case is heard, including decision-making activities. The three in-scope components of this function are described below:

- **Compliance –** Capabilities that support the establishment, tracking, and monitoring of the terms of predisposition conditions of release, probation imposed (juvenile), treatment options, and sentencing.
- **Access to Risk Assessment Tools –** This capability includes the access to/integration with existing tools used to perform an assessment of an individual to support monitoring terms imposed by the court. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm.
- **Reports and Searches –** The Reporting capability falls into two categories, there are ad hoc reporting needs and structured reports to support tracking and monitoring needs of the court: tracking and monitoring, ad hoc reporting. Includes at a minimum those capabilities currently supported by the SCOMIS Index and the Judicial Access Browser System (JABS). This includes access to all relevant information/records, access to participant historical information, the ability to issue and manage decision records, access to participant history, and WSP and Department of Licensing (DOL) data,

3. Out-of-Scope Category Definitions

This subsection includes descriptions of the functions that are out of scope. Out of scope functions are not listed in the requirements but they are included here for reference purposes, to help to ensure clarity on what is included in each function and what is not. Each of the functions described in this subsection corresponds to a “bubble” from the chart shown in Section II.A.1.

a. Manage Case Record

The Manage Case Record capability is focused on the management of court records, including document indexing (docketing), managing and processing exhibits, and management of court

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proceeding recordings. The majority of Manage Case Record sub-functions are in scope, but document management, which is described below, is considered out of the scope of this project.

- **Document Management –** Document Management capabilities support all functions related to the processing of physical documents (paper or electronic) in the court environment. There are eight sub capabilities that support this capability: receive, imaging, eFiling, disburse, search, store, archive, delete/destroy.

b. Pre-/Post-Disposition Services

Capabilities related to activities that take place before a case is heard and after a case is heard, including decision-making activities. The out-of-scope components of this function are described below.

- **Social Services –** This capability supports the ability to interact with various social service agencies and private providers to monitor those individuals placed in foster care, rehabilitation services, or other programs.
- **Juvenile Services** – These include:
  - *Juvenile Detention* – The Juvenile Detention capabilities support activities and actions around the juvenile detention services. This includes the capabilities of Admission, Release, Tracking, and Facility Management: admissions, release, tracking, facility management.
  - *Admit Juvenile to Detention* – This capability includes the activities needed to support admitting a youth into a detention facility.
  - *Monitor Juvenile in Detention* – This capability includes the activities needed to support monitoring a youth in a detention facility.
  - *Release Juvenile from Detention* – This capability includes the activities needed to support releasing a youth from a detention facility.
- **Probation Services –** This capability supports monitoring a person convicted of a crime to remain at liberty, subject to certain conditions and under the supervision of a probation officer.
- **Bail/Bond –** This capability includes the activities associated with bail management (e.g. collecting bail money, bail bonds, and producing receipts and reports).
- **Alternative Programs –** This capability includes activities for tracking juveniles enrolled in alternatives program (i.e., electronic home monitoring, work crew, group care) in lieu of detention.

c. Administration

Capabilities conducted for managing and supporting a Court for carrying out its business mission. There are eight sub capabilities that fall under Administration.

- **Security (Non-Functional) –** The Security capability focuses on the computer application and data security functions for the court. This includes creation of Logon Ids, assigning access rights to applications, maintenance of security privileges, removal of security privileges as needed, and monitoring access activities with the use of security reports. Data and applications are secured from unauthorized access and access is granted as needed to authorized individuals.

  Security of cases, calendars, case notes, and other information is a major risk to the integrity of the court functions. The need to securely and effectively restrict access to sealed cases falls under the security umbrella. The ability for a system user to have access to processes they need to perform their job functions, and only those processes, is a critical aspect of security in any business environment, but even more so

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in the court environment due to the amount of confidential data maintained in the court systems.

- **Law Data Management (Non-Functional) –** The Law Data Management capability covers activities associated with adding, updating, and deleting ~~the~~ laws that the court enforces (local and statewide). Provide review and interpretation of newly enacted statutes on penalty assessments for proper categorization in the law table. Coordination of law data between JIS and the WSP, Washington Association of Prosecuting Attorneys (WAPA) charging manual, and Fish and Wildlife bail schedules. Determine class of offense for each law, Law Data, and begin and end effective dates.

All non-civil cases require a reference to a law in a charging document, or referral notice.

- **Best Practices** – The capabilities associated with Best Practices deal with the creation, maintenance, and education of court staff on the best practices developed in the administration of court processes and functions: create, maintain, education.
- **Jury Management** – Jury Management capability involves all activities related to Jury Pool setup, selection, notification, jury service postponement, tracking, and payment: create, maintain, selection, notification.
- **Local Rules** – The capabilities associated with Local Rules deal with the creation and maintenance of those rules that each individual jurisdiction/court makes in how to do business in their business area: create, maintain.
- **Forms Management** – This capability revolves around the creation and maintenance of forms used by the courts from a global perspective. Those forms that are unique to a given court are not included in the scope of work covered by this capability.
- **Education** – This capability involves the function of providing educational services to the different courts by AOC related to new Judicial Officer training, new global court processes and procedures, and system usage.
- **Court Profile** – The court profile contains information that is specific to a particular court. This information may include court location, hours of operation, form letters, and any other court specific information that may be required when performing court business processes.
- **Reports** – The Administrative Reports activity focus on the general reporting needs of the organization.

d. Manage Finances

Capabilities related to financial processes at a Court. There are six sub capabilities that fall under the Manage Finances area.

- **Define Financial Parameters –** This capability supports the Court processes and functions that support the accounting and financial operations of a court.
- **Bank Account Management –** This capability addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts) and performing ancillary tasks such as accruing interest, reconciling accounts, and producing journals and reports. These tasks address accruing interest on bank accounts but not within the court accounting system on the case, party, or other funds in bank accounts. Similarly, these tasks do not address interest on delinquent payments.
- **Manage Case Accounting** – The Manage Case Accounting Actions focus on the management functions for financial operations. This includes Maintaining the Chart of Accounts, Maintaining bank relationships, and Reporting activities: setup accounts receivables / payables, setup payment agreements.
- **Administer Financial Activities** – The Administer Financial Activities focus on those activities that deal with financial activities other than receiving and distributing funds for a

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Court. This includes End of Period Activities, Bank Reconciliations, Audits, and processing Unclaimed Property.

- **Reverse Payments** – This capability should include but not be limited to identifying and processing dishonored payments (e.g., NSF checks, credit card payments, counterfeit currency, or payments done in error).
- **Receive Payments** – The Receive Payments capability focuses on the activities at a court related to the receipt of payments for any activity/reason. The Receive Payments capability consists of three sub capabilities. These sub capabilities are based on the type of payment that can be received. They are Trust Payments, Court Payments, and Bail Payments.
- **Collections** – The Collections capability focuses on the activities related to account receivable collections. This includes sending notifications to owing party, assigning A/R to a collection agency, tracking payment history, etc., setup, collections management.
- **Cashiering** – This capability includes activities around funds collected from parties and their representatives who submit payments required by the court. Receipting (cashiering) functions can be performed at the cashiering station of the front counter in the clerk's office if payments are made in person rather than electronically or by mail.
- **Disburse Payments** – The Disburse Payments capabilities focuses on the activities at a court related to the distribution of assets (primarily money) to owed parties. The Disburse Payments capabilities consist of three sub capabilities. These sub capabilities are Recipients of Trust Payments, Remittances to Government Entities, and Returns to Payee / Applied to Case.
- **Reports** – This capability deals with all financial data reports not specifically identified in the other sub capability areas.

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Appendix B – AOC Technology Environment

The Washington State AOC technology environment supports AOC's customers that include courts, judicial, partners, the public, and AOC programs. This section describes the AOC current technology computing environment.

1. Overview of Current AOC Technology Implementation

The AOC provides support services to state, county, and city courts throughout the state of Washington, including: the Supreme Court, Court of Appeals, Superior Courts, and Courts of Limited Jurisdiction (District and Municipal Courts).The AOC Server Environment consists of two platforms: (1) IBM Z10 business class servers and (2) Windows servers. Various network components support the JIS environment. The majority of the case management production work accessed by the courts resides on the z/OS servers. The exception to this is the Juvenile system (JCS), which resides on the Windows server. AOC has implemented an IFL processor dedicated to Linux workloads on IBM System Z servers. The IFL is supported by the z/VM virtualization software and the Linux operating system. The IBM Z10 servers are capable of supporting Unix operating environments.

2. Application Overview

The following graphic, Figure 1 – AOC Applications, presents the current AOC portfolio of business applications that support business operations. The various courts (application customers) are represented in the red rectangle on the left side of the drawing. The JIS applications are depicted by the rectangular blue boxes in the center of the figure. The major data repositories are depicted by the green boxes in the third column. The far right-hand column depicts the major information exchanges between AOC and its key partners. The arrows show the relationships among the customers, applications, databases, SQL servers, and key partners.

The JIS applications operate on a unified relational database. A person entered in the Superior Court is the same person that is referenced in the District Court. This unified database approach allows applications and services to be consistent throughout the JIS application portfolio. Changes to applications require substantial integration testing to validate that all applications operate effectively after the change is made.

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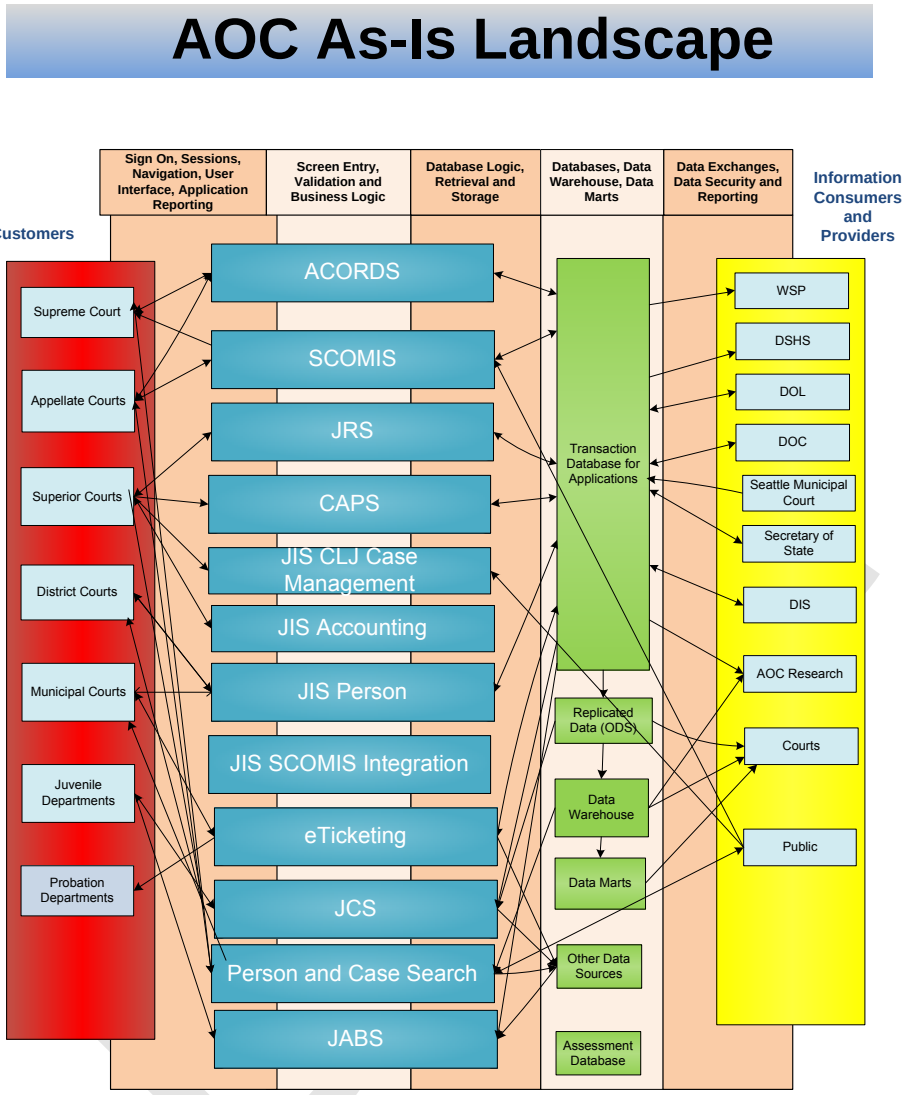
Figure 1 – AOC Applications



3. Computing Environment

The z/OS Server environment is running two physical mainframes to support the JIS production workload. One processor is running the production "green screen" applications, and the other is running the DB2 subsystem and WebSphere applications.

z/890 (2086-A04)	z/800 (2066-4)
• *Speed – 450 million instructions per second.* • *Applications – CICS.*	• *Speed – 640 million instructions per second.* • *Applications – WebSphere and DB2.*

The z/800 processor fully supports the Service Oriented Architectures (SOA), J2EE, and Web Services on the zSeries. AOC uses IBM systems and middleware to create an optimized platform that reduces cost and complexity. The majority of the case management production work accessed by the courts resides on the z/OS mainframes.

AOC uses the Microsoft BizTalk as its Enterprise Service Bus to seamlessly integrate disparate systems and connect business partners.

The AOC database consists of 3.3 terabytes disk space on IBM DASD servers. The JIS database is currently approximately 600 gigabytes.

4. Distributed Environment

The distributed environment consists of about 50 Intel-based servers. AOC operates a mixed operating system environment with servers running different versions of the Microsoft Windows operating system.

AOC provides disk storage systems and other related peripheral equipment, such as tape back-up systems that support the distributed systems.

5. Computer Room Facility

The JIS Datacenter is located inside the AOC Facility, Building 2. For power, AOC has several 65 KVA UPS for redundancy that support the servers and network equipment in the computer room. In addition, AOC has a 250 KW Diesel Generator for emergency power to the building.

6. Network Overview

The AOC telecommunications network primarily connects court workstations and printers across the state to servers in Olympia. The following describes the various network segments.

- **Local Olympia Network** – AOC owns and operates the network in Olympia that houses the various servers. AOC is connected to Department of Information Services (DIS) by two 100-megabit Ethernet fibers. One connection is direct to DIS; the other connects to the Internet. Network monitoring of the local Olympia network, Temple of Justice, Courts of Appeal, and JIS courts is performed by OpManager. Network sessions outside the local Olympia network and COA segments must go through the AOC firewall before establishing connections to AOC servers. Access to AOC is offered through VPN.
- **Department of Information Services Network** – The DIS network is used as a network transport. AOC does not monitor the network devices at DIS. DIS connects the local AOC network to the Temple of Justice, IGN courts, and JIS courts.
- **Temple of Justice** – The Temple of Justice network is connected to DIS by a 100-megabit Ethernet fiber. The Temple of Justice Building houses the Supreme Court. The network devices that support the Supreme Court are a router, a firewall, and several switches located in six wiring closets.
- **Courts of Appeal** – There are Courts of Appeal located in Seattle, Tacoma, and Spokane. All three Courts of Appeal are connected by T1 service to a frame-relay cloud, which is connected to the local Olympia network. Each COA has a router and several switches.
- **IGN Courts** – Those courts that are located in or near their respective county seats in every county (except Wahkiakum) are connected either by T1 circuitry or Ethernet services to DIS. DIS staff own and operate their own network equipment, including the routers that terminate in the county seats. County network staff or third party vendors maintain the county networks.

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- **JIS Courts** – Courts that are not connected through their respective counties connect directly to DIS using T1, fractional T1, or 56-kilobit frame relay circuits. AOC provides these courts with network equipment.
- **Internet Stub** – The Internet stub provides access to some of AOC's applications and the use of VPN for secure access.
- **Network Appliances** – AOC utilizes various specialized appliances in its network configuration, including BIGIP for load balancing of TCP/IP applications and SSL encryption; Neoteris, which provides VPN Access to the AOC internal network; Nokia, which provides firewalls; and BlueCat, which provides DNS services.

In addition to the AOC Networks, each county has its own networks that operate locally, connecting to the DIS IGN network.

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Appendix C – Stakeholder Matrix

Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
SCJA	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☒ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Direction, functional support, coordination, communication, collaboration, political support.
Individual Trial Courts	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☐ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Money, training, systems, technical assistance, political support, best practices.
DMCJA	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☒ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Direction, functional support, coordination, communication, collaboration, political support.
Supreme Court	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☒ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Direct services (HR, budget, etc.), staffing, for AOC to be successful, leadership (statewide level), technical assistance (SME, etc.).
Court of Appeals	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☒ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Direct services (HR, budget, etc.), system level support, staffing.
Legislature	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Information, cooperation, collaboration, communication, fiscal notes, credibility.
Office of Financial Management (OFM)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Information.
BJA	☐ Internal ☒ External - - - - - - - - - - -	☒ Extremely ☐ Reasonably ☐ Limited	Information, credibility, success, staffing support.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
	☐ Customer ☒ Partner ☐ Other	☐ Issue Specific	
WSP	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Data, cooperation.
DOC	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Data, cooperation.
DOL	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Data, cooperation.
JISC	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Competence, technical knowledge.
Secretary of State	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Data, cooperation.
Criminal Justice Training Commission	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	
Traffic Safety	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Information, cooperation, technical knowledge.
County Clerks	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	Competence, Information Services (IS) support, funding support.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
	☒ Partner ☐ Other		
Court Management Council	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Competence, IS support, funding support.
Minority and Justice Commission	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Staff support.
Gender and Justice Commission	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Staff support.
Interpreter Commission	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Staff support, funding support.
Office of Civil Legal Aid (OCLA)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Staff support (budget), information, political support.
Office of Public Defense (OPD)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Staff support (budget), information, political support.
Law Library	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Budget support.
Washington State Bar Association (WSBA)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Information, cooperation, political support.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
	☐ Other		
Access to Justice (ATJ)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Information, cooperation.
DIS	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☒ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	
Department of Transportation (DOT)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Information.
Association of Washington Superior Court Administrators (AWSCA)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Competence, IS support, funding support.
District and Municipal Court Management Association (DMCMA)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Direction, functional support, coordination, communication, collaboration, political support.
Washington Association of Juvenile Court Administrators (WAJCA)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Direction, functional support, staff support, political support.
JIS Link Customers	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Payment.
Justice Reference Architecture (JRA)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Information, communication, collaboration.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
Washington State Institute for Public Policy (WSIPP)	☐ Internal ☐ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Data, communication, collaboration.
Board for Court Education (BCE)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Staff support, effective education program.
Sentencing Guideline Commission	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Data, collaboration, political support.
Commission on Judicial Conduct (CJC)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	
Public	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	
WA State CASA	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Political support.
Dispute Resolution Centers	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	
Disability Advocacy Community	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Political support.
Elder Advocacy	☐ Internal	☐ Extremely	Political support.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
Community	☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Reasonably ☐ Limited ☒ Issue Specific	
Guardian Board	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	
Codes Committee	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Competence, IS support.
AOC	☒ Internal ☐ External - - - - - - - - - - - ☐ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☐ Issue Specific	
Washington Association of Sheriffs & Police Chiefs (WASPC)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	
WAPA	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Collaboration, political support.
Commission on Children in Foster Care	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Collaboration, communication, staff support.
Prosecuting Attorneys	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Communication.
Association of Washington Cities (AWC)	☐ Internal ☒ External	☐ Extremely ☐ Reasonably	Communication, political support.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
	- - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☒ Limited ☐ Issue Specific	
Washington Supreme Court (WASC)	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Communication, political support.
State Auditor	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	
Treasurers	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Accurate reporting of revenue.
Vendors	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Money.
Governor's Office	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Political support, communication, non-interference.
Grant Funding Authorities	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☒ Reasonably ☐ Limited ☐ Issue Specific	Competence, effective projects.
Columbia Legal Services	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒ Limited ☐ Issue Specific	Communication, information.
Media	☐ Internal ☒ External - - - - - - - - - - -	☐ Extremely ☒ Reasonably ☐ Limited	Unbiased reporting, political support, publicity.

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Stakeholder's Name	Type of Stakeholder	Relative Importance	What does this stakeholder need from us?
	☐ Customer ☐ Partner ☒ Other	☐ Issue Specific	
Commerce	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Collaboration, information.
DSHS	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☒ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	Collaboration, communication, data.
Attorney General's Office	☐ Internal ☒ External - - - - - - - - - - - ☐ Customer ☐ Partner ☒ Other	☐ Extremely ☐ Reasonably ☒Limited ☐ Issue Specific	Communication, information.
Interpreters	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	
Certified Professional Guardians	☐ Internal ☒ External - - - - - - - - - - - ☒ Customer ☐ Partner ☐ Other	☐ Extremely ☐ Reasonably ☐ Limited ☒ Issue Specific	

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Appendix D – Outline of Tasks to Establish LINX Open Source Organization

AOC would need to work with Pierce County in a number of tasks to establish the needed agreements, governance, resources, organization, policies, and procedures required to support LINX as an Open Source application solution for SC-CMS. These tasks are likely to include:

- Plan for the LINX Open Source application, producing artifacts such as:
  - Charter.
  - Business case.
  - Road map – strategic plan.
  - Architecture.
- Establish governance and create a decision making structure that:
  - Is consistent with the county's open source strategy.
  - Provides appropriate executive oversight and control to the multiple government organizations that would reasonably expect to have this input. These organizations include:
    - Pierce County Council.
    - Washington State legislature.
    - JISC.
    - AOC.
- *Secure the funding and funding source including :*
  - Capital funding for development.
  - Operational funding for ongoing maintenance.
- Establish software development management structure.
- Establish software support management structure.
- Develop and implement long-term staff plans for:
  - Software development.
  - Business analysis.
    - Requirements definition.
    - Transition planning.
    - Process change.
  - Training.
  - Conversion.
  - Testing.
  - Service desk.

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- Create or identify fiscal and administrative organization that will be employed to support development and maintenance operations.
- Execute contractual instruments.
    - IP license.
    - Interagency Memorandums of Understanding (MOUs).
- Acquire and implement infrastructure, technology, and tools needed for the:
    - Development environment.
    - Collaboration environment.
        - Web site.
        - Mailing lists.
        - Version control.
        - Bug tracking.
        - Real-time chat.
- Establish the practices and processes used in application development, maintenance, and support, including:
    - Governance processes.
    - Release planning and management.
    - Cost sharing.
    - Issue resolution.
    - Development processes.
        - Requirements validation.
        - Design.
        - Construction.
        - Testing.
    - Administration.
        - Communication channels.
        - Version control and bug tracking.
        - Documentation standards and management.
        - Resource planning and management.
        - Back office (accounting, personnel, etc.).
    - Support services.

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Appendix E – Critical Success Factors

Category	Description	Green Characteristic	Yellow Characteristic	Red Characteristic
Court Leadership Cohesion	How cohesive is the relationship between the chief administrative judge, court administrator, and the county clerk?	The court leadership is cohesive, shares a common vision for their court, and has a record of implementing change together.	There is little or no conflict. The relationships are untested. They have not teamed up to develop a commonly held vision for their court.	Significant conflict exists between court leadership.
Willingness to Participate	How willing is the court leadership to participate in a deployment?	Implementation of the application is integral to the courts plans for it future.	The leadership of the court is willing to participate	The leadership of the court expresses reservations about participation.
Local Integration	Does existing integration of court applications constrain the court's ability to implement a new application?	There is no existing application or the existing application has no integration with other internal or external applications.	There is a small number of interfaces, the interfaces are well documented, based on commonly implemented standards, loosely coupled (event based), and all interfaces are internal to the court.	There are many interfaces, they are: - Unique. - Poorly documented. - With external applications. - Created through a shared database.
Local Resources Availability	Does the court have sufficient local business and technical staff for the deployment?	Court leadership believes that it clearly has the business and technical staff needed to support deployment.	Court leadership can provide the technical and business needed, but with some, limited impact to the court's operations.	Insufficient court and technical staff are available to support deployment activities without significant impact to court operations.
Multiple Court Locations	How many court locations are supported?	The court has only one location.	The court has up to three locations, all within commuting distance.	The court has more than three locations, they employ different practices between locations, or the court locations are in different cities.

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Category	Description	Green Characteristic	Yellow Characteristic	Red Characteristic
Degree of specialization	How much do court operations employ specialized processes?	There is no specialization of roles or process by case type or other characteristic.	Some specialization exists.	The court has specialized roles and processes for certain case types.
Fit with the Court's application portfolio.	How well does the application complement the court's existing portfolio of applications?	The court has no existing portfolio of applications or this application clearly complements and improves upon the existing suite of applications.	The application materially complements the existing application suite. It provides net benefit to the court.	The court has a strong suite of applications and this application does not provide a significant improvement in capabilities.
Age of existing applications	If the court has an existing application, what is the optimal remaining useful life?	Either there are no applications or the existing application is clearly at the end of its investment lifecycle.	Existing applications are nearing the end of their investment lifecycle.	Existing applications are nowhere near the end of their investment lifecycle.
Extraordinary Characteristics	Do extraordinary circumstances constrain this court's ability to deploy the application?	No extraordinary circumstances.	There may be an issue or factor that proves to constrain the court.	There is clearly a factor or issue that constrains the court.
Court Data Quality	How complete is the court data and does it conform to common court data standards?	The data is well structured, complete, and uses common coding standards. Automated validation is used to assure quality.	Some divergence from data standards and some missing data.	The data does not conform to common data standards or substantial missing electronic information for data entities,
County Support	Does the court's home county have adequate resources to support their deployment responsibilities?	The county has adequate IT support and budget to fulfill their deployment responsibilities.	The county will need to acquire resources through a budget process.	The county lacks resources to accomplish their deployment responsibilities.

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Appendix F – Commercial Project Work Plan and Schedule

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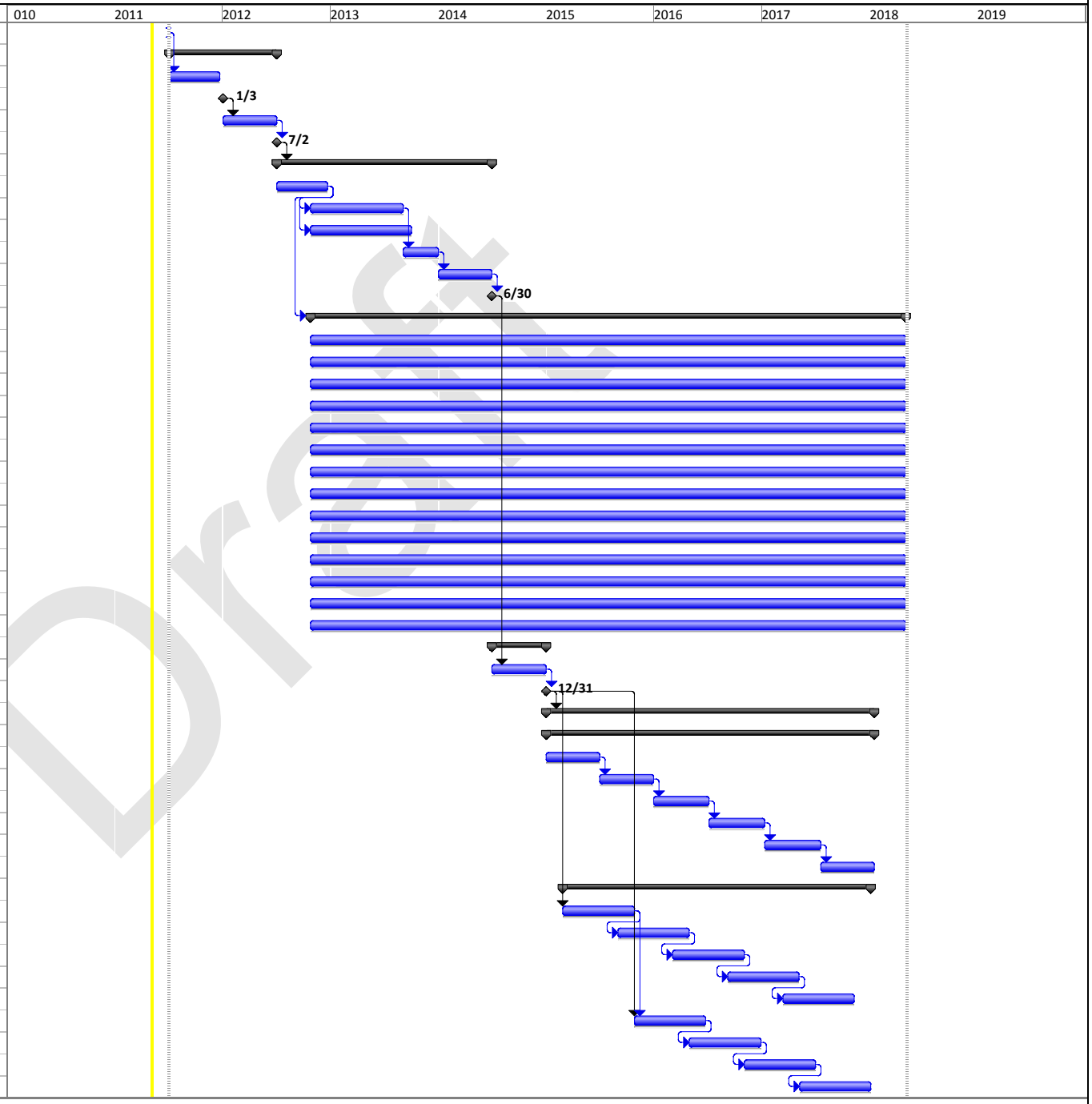
COMMERCIAL PROJECT WORK PLAN AND SCHEDULE

ID	Task Name
1	Project Start
2	**PHASE I - ACQUISITION**
3	Develop RFP
4	RFP Published
5	Evaluation
6	Vendor Contracted
7	**PHASE II - CONFIGURATION AND VALIDATION**
8	Planning and Design
9	Configuration and Customization
10	Data Conversion
11	Systems Testing
12	User Acceptance Testing
13	Systems Acceptance
14	**Phase III - Local Implementation Preparation**
15	Communicate to the Court Community
16	Train the Court and Court Community
17	Conduct Readiness Assessment
18	Redesign Court Business Processes
19	Redesign Court Community Business Processes
20	Revise Court and Court Community IT Budgets
21	Plan Local Court Configuration
22	Plan Local Court Data Configuration
23	Plan Correspondence, Forms, and Reports
24	Plan and Design Data Conversion
25	Redesign Application Portfolio
26	Design Interoperability
27	Design Local Technical Infrastructure
28	Compile Local Implementation Plans
29	**PHASE III - PILOT IMPEMENTATION**
30	Pilot Implementation
31	Pilot Implementation Complete
32	**PHASE IV - STATEWIDE ROLLOUT**
33	**Small Courts**
34	Group 1 (4 Courts)
35	Group 2 (4 Courts)
36	Group 3 (4 Courts)
37	Group 4 (4 Courts)
38	Group 5 (4 Courts)
39	Group 6 (4 Courts)
40	**Large Courts**
41	Court 1
42	Court 2
43	Court 3
44	Court 3
45	Court 4
46	Court 5 (Optional)
47	Court 6 (Optional)
48	Court 7 (Optional)
49	Court 8 (Optional)



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Appendix G – Transfer LINX Work Plan and Schedule

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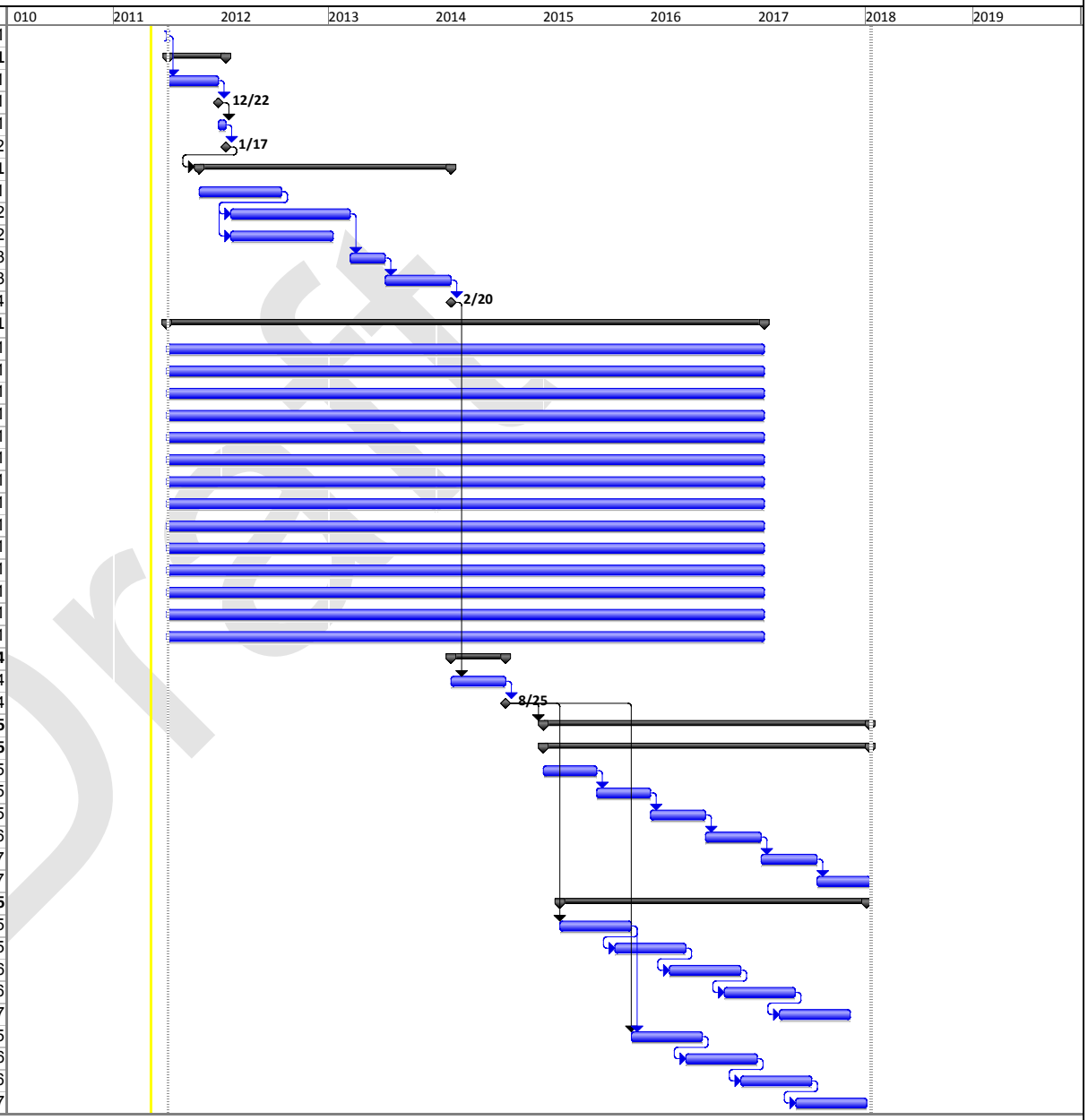
TRANSFER LINX WORK PLAN AND SCHEDULE

ID	Task Name	Duration	Start
1	Project Start	1 day?	Fri 7/1/11
2	**PHASE I – ACQUISITION**	**135 days**	**Tue 7/5/11**
3	Develop RFP	6 mons	Tue 7/5/11
4	RFP Published	0 days	Thu 12/22/11
5	Evaluation	15 days	Fri 12/23/11
6	Vendor Contracted	0 days	Tue 1/17/12
7	**PHASE II – CONFIGURATION AND VALIDATION**	**599 days**	**Wed 10/19/11**
8	Planning and Design	192 days	Wed 10/19/11
9	Application Construction	282 days	Fri 2/3/12
10	Data Conversion	240 days	Fri 2/3/12
11	Systems Testing	85 days	Fri 3/15/13
12	User Acceptance Testing	160 days	Fri 7/12/13
13	Systems Acceptance	0 days	Thu 2/20/14
14	**Phase III - Local Implementation Preparation**	**436 days**	**Fri 7/1/11**
15	Communicate to the Court Community	436 days	Fri 7/1/11
16	Train the Court and Court Community	436 days	Fri 7/1/11
17	Conduct Readiness Assessment	436 days	Fri 7/1/11
18	Redesign Court Business Processes	436 days	Fri 7/1/11
19	Redesign Court Community Business Processes	436 days	Fri 7/1/11
20	Revise Court and Court Community IT Budgets	436 days	Fri 7/1/11
21	Plan Local Court Configuration	436 days	Fri 7/1/11
22	Plan Local Court Data Configuration	436 days	Fri 7/1/11
23	Plan Correspondence, Forms, and Reports	436 days	Fri 7/1/11
24	Plan and Design Data Conversion	436 days	Fri 7/1/11
25	Redesign Application Portfolio	436 days	Fri 7/1/11
26	Design Interoperability	436 days	Fri 7/1/11
27	Design Local Technical Infrastructure	436 days	Fri 7/1/11
28	Compile Local Implementation Plans	436 days	Fri 7/1/11
29	**PHASE IV – PILOT IMPEMENTATION**	**132 days**	**Fri 2/21/14**
30	Pilot Implementation	132 days	Fri 2/21/14
31	Pilot Implementation Complete	0 days	Mon 8/25/14
32	**PHASE V – STATEWIDE ROLLOUT**	**793 days**	**Thu 1/1/15**
33	**Small Courts**	**793 days**	**Thu 1/1/15**
34	Group 1 (Four Courts)	129 days	Thu 1/1/15
35	Group 2 (Four Courts)	131 days	Wed 7/1/15
36	Group 3 (Four Courts)	133 days	Thu 12/31/15
37	Group 4 (Four Courts)	135 days	Tue 7/5/16
38	Group 5 (Four Courts)	136 days	Tue 1/10/17
39	Group 6 (Four Courts)	129 days	Wed 7/19/17
40	**Large Courts**	**745 days**	**Thu 2/26/15**
41	Court 1	173 days	Thu 2/26/15
42	Court 2	173 days	Tue 9/1/15
43	Court 3	173 days	Fri 3/4/16
44	Court 3	173 days	Wed 9/7/16
45	Court 4	173 days	Mon 3/13/17
46	Court 5 (Optional)	173 days	Tue 10/27/15
47	Court 6 (Optional)	173 days	Fri 4/29/16
48	Court 7 (Optional)	173 days	Wed 11/2/16
49	Court 8 (Optional)	173 days	Mon 5/8/17



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Appendix H – Project Management Operations

The PMI has established an internationally recognized standard known as the *PMBOK Guide*, that provides the fundamentals of project management as they apply to a wide range of projects, including construction, software, engineering, automotive, etc.

The *PMBOK Guide* is process-based, meaning it describes work as being accomplished by processes. This approach is consistent with other management standards such as the International Organization for Standardization (ISO) 9000 and the Software Engineering Institute's Capability Maturity Model Integration (CMMI). Processes overlap and interact throughout a project or its various phases.

The *PMBOK Guide* recognizes 44 processes that fall into five basic process groups and nine knowledge areas that are typical of almost all projects. Each of the nine knowledge areas contains the processes that need to be accomplished within its discipline in order to achieve effective oversight of project management activities.

PMBOK project management processes are organized using the same framework of the five key process groups (columns) and nine knowledge areas (rows) as the PMBOK program management processes discussed earlier in this document. The process definitions and terminology at the program level are very similar to the processes at the project level. However, program management processes address issues at a higher level and involve less-detailed project level analysis. The program level is configured to resolve issues between projects and to enable synergistic program benefits.

Each of the project management processes fall into one of the five process groups, creating a matrix structure such that every process can be related to one knowledge area and one process group, as shown in the following table:

	Process Group				
Knowledge Area	**Initiating**	**Planning**	**Executing**	**Monitoring and Controlling**	**Closing**
Project Integration Management	• Develop project charter. • Develop pre-liminary project scope statement.	• Develop project management plan.	• Direct and manage project execution.	• Monitor and control project work.	• Close project.
Project Scope Management		• Scope planning. • Scope definition. • Create WBS.		• Scope verification. • Scope control.	
Project Time Management		• Activity definition. • Activity sequencing. • Activity resource		• Schedule control.	

	Process Group				
Knowledge Area	**Initiating**	**Planning**	**Executing**	**Monitoring and Controlling**	**Closing**
		estimating. • Activity duration estimating. • Schedule development.			
Project Cost Management		• Cost estimating. • Cost budgeting.		• Cost control.	
Project Quality Management		• Quality planning.	• Perform quality assurance.	• Perform quality control.	
Project Human Resources Management		• Human resource planning.	• Acquire project team. • Develop project team.	• Manage project team.	
Project Communi-cations Management		• Communications planning.	• Information distribution.	• Performance reporting. • Manage stakeholders.	
Project Risk Management		• Risk management planning. • Quality risk analysis. • Quantitative risk analysis. • Risk resource planning.		• Risk monitoring and control.	
Project Procurement Management		• Plan purchases and acquisitions. • Plan contracting.	• Request seller response. • Select sellers.	• Contract administration	• Contract closure.

The knowledge areas and their associated project management processes are described in further detail below.

1. Project Integration Management

Project integration management includes the processes and activities needed to identify, define, combine, unify, and coordinate the various processes and project management activities within the project management process groups. Integration, in the context of managing a project, is making choices about where to concentrate resources and effort on any given day, anticipating potential issues, dealing with these issues before they become critical, and coordinating work

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for the overall project good. The integration effort also involves making trade-offs among competing objectives and alternatives.

Most experienced project management practitioners know there is no single way to manage a project. They apply project management knowledge, skills, and processes in different order and degrees to achieve the desired project performance. However, the perception that a particular process is not required does not mean that it should not be addressed. The project manager and project team must address every process, and the level of implementation for each process must be determined for each specific project.

The functions and outcomes of the processes in the project integration management knowledge area are displayed in the table below.

Process	Function	Outcomes
Project Charter	Establish a project charter that defines the business context and provides formal authorization for the project.	• Project charter. • Business needs documented. • Linkage to strategic plan. • Formal authorization.
Project Scope Statement	Define the work that is to be accomplished and the expected tangible outcomes and benefits the project is expected to deliver.	• Project and deliverable requirements. • Project boundaries. • Methods of acceptance.
Project Management Plan	Develop an integrated project management plan that defines how the project will be executed to deliver the outcomes and benefits described in the project scope.	• Project management plan. • Milestone list. • Resource calendar. • Project management methodology. • Project management information system (PMIS). • Change control.
Direct and Manage Project Execution	Plan, organize, control, and lead project tasks and activities following the project management plan. This is the key driver of each project, as it actually involves the work to achieve the project outcomes and benefits.	• Execute project plans. • Produce project deliverables. • Follow project methodology. • Issues managed. • Adapt to changes.
Monitor and Control Project Work	Obtain and consolidate data on status and progress from individual project task and activities. The focus is on maintaining project scope, schedule, costs, and quality expectations.	• Earned value system. • Issues log. • Change log. • Action log. • Project journal.
Integrated Changed Control	Manage changes to the project's scope through a structured change control process.	• Approved changes implemented. • Improvements implemented. • Defect repair.

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Process	Function	Outcomes
Project Closure	Manage the project activities necessary to terminate a project and transition products developed and delivered into ongoing operations.	• Administrative closure. • Deliverables meet requirements. • Contract closure. • Final product and service matches scope. • Formal acceptance. • Project closure document. • Historical information.

The key outcome of the project integration management knowledge area is the delivery of the project outcomes and deliverables. Since this knowledge area integrates activities of all the projects activities, its overall purpose is execution and delivery.

2. Project Scope Management

Project scope management includes the processes required to ensure that the project includes all the work required, and only the work required, to complete the project successfully. Project scope is primarily concerned with defining and controlling what is and is not included in the project.

A project generally results in a single product, but that product can include subsidiary components, each with its own separate, but interdependent, product scope. For example, a new computer system would generally include four subsidiary components: hardware, software, training, and implementation.

Completion of the project scope is not only measured against the project management plan, project scope statement, and associated WBS, but also product requirements. Project scope management needs to be well integrated with the other knowledge area processes so that the work of the project will result in delivery of the specified product scope.

Project scope also identifies the tangible deliverables, outcomes, and benefits that will be delivered by the project. Project managers focus on delivering tangible products and outcomes since these can be evaluated for quality and completeness and can be assigned to specific project staff. Business or department program staff and senior department leadership usually monitor completion of tangible deliverables as their gauge.

The functions and outcomes of the processes in the project scope management knowledge area are displayed in the table below.

Process	Function	Outcomes
Scope Planning	This process develops the scope management plan that describes how the project scope will be developed, managed and controlled.	• Aligns with organizational process assets. • Scope management plan.
Scope Definition	Identify the strategic goals, desired outcomes, and expected benefits that are expected from the project as defined in the portfolio management system and program management plan. The project manager defines	• Project scope statement (detailed). • Objectives. • Scope description. • Project boundaries.

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Process	Function	Outcomes
	the tangible outcomes, work products, and deliverables that the project team will produce.	• Project deliverables. • Acceptance criteria. • Assumptions. • Constraints.
Create WBS	Create the hierarchy of tasks and activities that will produce the deliverables, outcomes, and work products that will fulfill the project's scope.	• WBS. • WBS dictionary. • Scope baseline. • Requested changes.
Scope Verification	Validate that the work products, deliverables, and outcomes are delivered with the appropriate quality. This often includes acceptance of contracted deliverables.	• Inspection process. • Accepted deliverables.
Scope Control	Manage changes to the project scope. This usually requires coordination with the program management function to coordinate changes and to receive approval for adjustments to the project budget and schedule.	• Configuration management system. • Change control system. • Scope baseline discipline.

The key outcome of the project scope management knowledge area is a scope that defines and validates the tangible project outcomes and work products. The scope constrains the project to produce specific outcomes defined by the portfolio and program management functions.

3. Project Time Management

Project time management includes the processes required to accomplish timely completion of the project. This process area deals with constructing a schedule of project tasks, activities, and deliverables (milestones). Project tasks should be organized into work groups that create work products (deliverables). The progression of work packages and deliverables should result in the project delivering the outcomes, deliverables, and business benefits.

Project earned value, which constitutes the key metrics of project management, occurs when project tasks are assigned project resources and work. As project tasks are completed, the project manager updates the project schedule and plans, indicating completion of project tasks. This process allows the establishment of both project schedule and cost baselines and provides the ability for project managers to quantifiably report progress on an ongoing basis against established baselines. These basic project metrics provide the project manager and the program manager with the indicators, gauges, and controls they need to effectively manage project activities.

The functions and outcomes of the processes in the project time management knowledge area are displayed in the table below.

Process	Function	Outcomes
Activity Definition	Define the tasks and activities that will lead to development of project deliverables and delivery of project outcomes and expected benefits.	• Appropriate decomposition. • Activity list corresponds to scope. • Progression of deliverables and

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Process	Function	Outcomes
		milestones.
Activity Sequencing	Structure and sequence the project tasks to a logical and balanced work plan that will accomplish the project's scope.	• Project network diagram. • Project logic well defined.
Activity Resource Estimating	Estimate the type and amount of work for resources that will be assigned to each task in a work package. Level resources and estimate the total aggregate resources of each type that will be needed to accomplish the project.	• Activity resource requirements. • Work assigned to project tasks. • Project resources leveled.
Activity Duration Estimating	Identify the duration of each project task, taking into consideration the work required and the sequencing of other project tasks.	• Activity durations assigned and at proper level.
Schedule Development	Develop an overall schedule for all tasks to complete the work products and deliver the expected outcomes and benefits.	• Planned start and finish dates for all tasks. • Project schedule. • Project milestone/deliverable list. • Schedule baseline set.
Schedule Control	Monitor schedule variances and make necessary adjustments to the project schedule. This often requires coordination with the program integrated schedule, since other projects may have dependencies on the project's outcomes and deliverables.	• Performance measures. • Schedule baseline discipline.

The key outcome of the project time management knowledge area is the development and management of a project schedule that identifies when project work activities will be accomplished and when project resources need to be applied to the project.

4. Project Cost Management

Project cost management includes the processes involved in planning, estimating, budgeting, and controlling costs so that the project can be completed within the approved budget. Project cost management is primarily concerned with the cost of the resources needed to complete schedule activities. However, project cost management should also consider the product, service, or result of the project.

The functions and outcomes of the processes in the project cost management knowledge area are displayed in the table below.

Process	Functions	Outcomes
Cost Estimating	Estimate the cost of resources that will be consumed by each project task. These costs are aggregated	• Activity cost estimates. • Estimates supporting detail.

Process	Functions	Outcomes
	into a project cost estimate and resource forecast.	
Cost Budgeting	Establish a budget conforming to the organization's cost categories. This usually requires loading project cost estimates into the organization's budget development system.	• Cost baseline. • Project funding requirements.
Cost Control	Monitor cost variances and make necessary adjustments to the project's budget. This often requires coordination with the program's integrated budget. This process also tracks and accounts for all project expenditures.	• Performance measurements. • Forecasted completion. • Lessons learned (variance root causes).

The key outcomes of the project time management knowledge area are the development of a project budget and cost variance and performance reports that provide a quantifiable measure of project progress.

5. Project Quality Management

The project quality management process includes all the activities of the performing organization that determine quality policies, objectives, and responsibilities so that the project will satisfy the needs for which it was undertaken. Quality assurance addresses establishing effective processes that will produce good work products. Quality control deals with inspecting the work products against established requirements and criteria to ensure they accomplish their intended purpose.

The functions and outcomes of the processes in the project quality management knowledge area are displayed in the table below.

Process	Function	Outcomes
Quality Planning	Develop a quality management plan that ensures the project delivers the project outcomes and deliverables with acceptable quality to be used in other projects or that can be transferred to ongoing operations.	• Quality management plan. • Quality metrics. • Process improvement plan.
Quality Assurance	Review the processes employed within tasks and activities to ensure that they are able to produce the expected product quality. Quality assurance focuses on the process for achieving quality results.	• Quality audits. • Process analysis.
Quality Control	Examine work products, deliverables, and outcomes to ensure that they meet established quality acceptance criteria. Quality control focuses on the end product.	• Quality control measurements. • Validated defect repair. • Validated deliverables.

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The key outcomes of the project quality management project knowledge area are quality processes and outcomes that meet the needs of the project and produce quality deliverables and work products.

6. Project Human Resources Management

Human resources management includes the processes that organize and manage the project team. The project team is composed of the people or staff resources who have assigned roles and responsibilities for completing the project. Project staff may be assigned to the project full-time, but are most often functional staff assigned to complete project tasks, in addition to performing their regular functional job responsibilities.

The functions and outcomes of the processes in the project human resources management knowledge area are displayed in the table below.

Process	Function	Outcomes
Human Resource Planning	Develop a plan for acquiring, developing, applying, and managing staff resources assigned to the project. Define the organization, roles, and responsibilities of staff assigned to the project.	• Staffing management plan. • Project organization. • Role and responsibility matrix.
Acquire Project Team	Identify, recruit, and obtain staff who will work on the project. This may include full- or part-time project staff, as well as functional staff who will need to participate in the project.	• Project staff assignments. • Resource availability.
Develop Project Team	Develop project staff member capability and capacity through training and team development activities.	• Team performance assessment. • Training plan.
Manage Project Team	Proactively manage project staff resources to achieve project objectives. Identify issues and problems that prevent staff from working effectively on the project.	• Issues log.

The key outcome of the project human resources management knowledge area is the development of capable business and IT staff resources assigned to work on the project who have the knowledge, skills, and abilities to accomplish the project work in a productive manner.

7. Project Communications Management

Project communications includes the processes required to ensure timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of project information. This information provides the critical links among people working on the project that are necessary for successful communication.

Project communication includes coordinating the project activities with the program management plan, which seeks to integrate multiple project activities. Project managers provide project information to program managers, stakeholders, and business program staff. Communication is one of the most important aspects of project management.

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The functions and outcomes of the processes in the project communications management knowledge area are displayed in the table below.

Process	Function	Outcomes
Communications Planning	Develop a communications plan for communicating with project stakeholders and for disseminating project information.	• Communications management plan. • Stakeholder communication requirements. • Communication calendar. • Communication responsibility matrix.
Information Dissemination	Distribute project progress information to project stakeholders, program management, and organization management. Provide project information and presentations at project, program, and business meetings.	• Project status reports. • PMIS. • Project presentations. • Stakeholder notifications.
Performance Reporting	Report project schedule, cost, and scope delivery progress to the program manager, stakeholders, and department business management.	• Performance reports. • Earned value reports. • Forecast reports.
Manage Stakeholders	Identify stakeholder concerns and needs and proactively accommodate their vested interests and communicate information that will affect the stakeholder.	• Stakeholder issues tracking.

The key outcome of this project communications management knowledge area is effective communications to project stakeholder regarding project progress and issues.

8. Project Risk Management

Project risk management includes the processes concerned with conducting risk management planning, identification, analysis, responses, monitoring, and control on a project. The objectives of project risk management are to increase the probability and impact of positive events and decrease the probability and impact of events adverse to the project.

Project risk is an uncertain event or condition that, if it occurs, has a positive or a negative effect on at least one project objective, such as time, cost, scope, or quality. A risk may have one or more causes and, if it occurs, one or more impacts. Project managers monitor project risks and develop project tasks and activities to mitigate project risks.

Many risks include situations and dynamics that are outside of the project manager's control. Project managers need to work with program managers and stakeholders to identify project risks and to mitigate or at least monitor them. A significant component of stakeholder management includes risk management activities.

The functions and outcomes of the processes in the project risk management knowledge area are displayed in the table below.

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Process	Functions	Outcomes
Risk Management Planning	Develop a risk management plan that defines how risks will be identified, categorized, and managed throughout the project. This is usually coordinated with the program risk management plan.	• Risk management plan. • Methodology. • Roles and responsibilities. • Risk category.
Risk Identification	Identify project risks that potentially may cause the project to not deliver the outcomes, deliverables, or benefits according to the agreed-upon cost and schedule that are expected.	• List of identified risks. • List of potential risk responses. • Root cause of risk.
Qualitative Risk Analysis	Analyze the project risks to identify the type of risk and its potential likelihood and impact to the project.	• Risk probability and impact analysis. • Risk data quality assessment. • Risk categorization. • Risk urgency assessment.
Quantitative Risk Analysis	Identify quantitative risk metrics (usually cost) that quantify the impact and probability of the risk.	• Risk register. • Probability risk analysis. • Probability of achieving cost and time objectives. • Prioritized list of risks.
Risk Response Planning	Identify tasks and activities and assign responsibility for mitigating the risk. Some risks are placed on watch lists for ongoing monitoring.	• Risk register. • Risk owners. • Risk mitigation for high risks. • Contingency reserves.
Risk Monitoring and Control	Monitor risk-related tasks and activities to determine whether the risks are being mitigated and adjust project plans accordingly.	• Recommended corrective actions. • Recommended preventive actions.

The key outcome for the project risk management knowledge group is a well-defined and qualified risk list and associated risk mitigation plans which identify and mitigate risks that may prevent the project from achieving its outcomes and contributing the expected benefits to the business.

9. Project Procurement Management

Project procurement management includes the processes to purchase or acquire the products, services, or results needed from outside the project team to perform the work. Contract management and change control processes required to administer contracts or purchase orders issued by authorized project team members are included in this knowledge area.

Procurement of external services and products will follow an organization's procurement processes, guidelines, and standards.

The functions and outcomes of the processes in the project procurement management knowledge area are displayed in the table below.

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Process	Function	Outcomes
Plan Purchases and Acquisitions	Prepare a procurement management plan for acquiring external contracted services, technology, and other materials that are required to complete project tasks. This is often coordinated with the program management procurement plan.	• Procurement management plan. • Types of contracts to be used. • Standardized procurement documents. • Procurement calendar. • Procurement metrics. • Contract statement(s) of work.
Plan Contracting	Develop the procurement documents (e.g., RFP, task orders) to acquire specific external services or products.	• Procurement documents. • Evaluation criteria.
Request Seller Response	Release the procurement documents to qualified vendors offering proposals for providing the needed services and products.	• Vendor list. • Procurement document package. • Proposals.
Select Seller	Receive and evaluate vendor proposals for services and products. Prepare contracts and develop contract administration services for managing the engagement.	• Selected vendors. • Contracts. • Contract management plan.
Contract Administration	Administer the vendor's activities associated with providing the services and products. Receive, review, accept, and make payment for services and products based upon contractual terms and conditions.	• Contract documentation. • Correspondence file. • Payments register. • Performance evaluation documentation.
Contract Closure	Review the contract statement of work, terms, and conditions to ensure that all contract obligations, deliverables, and product deliveries have been satisfied based upon contractual criteria.	• Procurement audits. • Contract closure. • Deliverable acceptance. • Lessons learned.

The key outcome of the project procurement management knowledge area is the establishment and administration of contracts with external entities for acquiring services and products that will be used in the project's development.

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Appendix I – SCMFS Risk Scorecard

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RISK SCORECARD

Project	**SC-CMS Implementation**	**Assessment Date:**	**3/2/2011**
Agency	**Washington AOC**	**Assessed by:**	**MTG**
Stage	**Planning**	**Overall Assessment**	**Yellow**

Average Rating Legend
High – High Risk Area – Mitigation Plans Needed
Medium – Medium Risk – Needs Watching
Low – Low Risk

Risk Category	#Low	#Medium	#High	Summary of High Risks
Process Standards	**46**	**19**	**16**	
Business Mission and Goals	1	2	2	Project fit to Customer Organization.
Customer/User	1	3	1	Customer Acceptance
Decision Drivers	2	2		
Development Environment	5		1	Tools Availability (EA)
Development Process	6	2	1	Early Identification of Defects
Organization Management	2	3	2	Resource Conflict, Customer Conflict
Product Content	3	1	3	Requirements Stability, Implementation Difficulty, System Dependencies
Project Management	12	3	1	Project Management Planning
Project Parameters	4	2	3	Project Size, Budget and Resource Size, Development Schedule
Project Team	6	1	2	Team Member Availability, Experience With Process
Technology	4			
Product Standards	**4**	**3**	**2**	
Deployment	3	2	2	Customer Service Impact, Data Migration Requirements
Maintenance	1	1		

Each of the above summary processes is assessed in more detail on the following pages.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
Process Standards				
Business Mission and Goals				
1.	Project Fit to Customer Organization	The project enables and supports superior court business operations and helps the organization achieve its outcomes and business objectives.	High	In the context of the Washington State non-unified court system, significant localization among superior courts may require substantial customization.
2.	Project Fit to Provider Organization	The provider's services are a central line of business and the solution provider has sufficient experience, staffing, and capabilities to support the state's needs.	Medium	AOC has little experience working with a solution provider. They have developed and maintained their own business applications.
3.	Customer Perception	Customer perceptions regarding the provider are positive.	High	Customers have serious concerns about AOC's ability to implement large-scale projects based upon previous failed efforts, which included a greater scope and more complexity than the current effort.
4.	Work Flow	The project supports and enables business operational work flow.	Medium	New work flow processes will be introduced.
5.	Goals Conflict	The project goals are consistent with and compliment business operational goals and strategies in a reasonable and demonstrable way.	Low	Consistent with business strategy and objectives.
Customer/User				
6.	User Involvement	The project reasonably involves end-user managers and subject matter experts (SMEs) in an appropriate manner.	Medium	The project currently involves judge, administrator, and clerk in planning, requirements development, and oversight roles. The AOC is taking early steps to increase this level of involvement.
7.	User Experience	The users that will be configuring and operating the systems, services, and processes have adequate experience and skills.	Medium	User experience implementing court systems are limited.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
8.	User Acceptance	Users understand the systems, services, and processes. Procedures are in place to enable the users to review and accept appropriate deliverables.	High	The technology solution has not yet been identified. The users do not have an understanding of the solution and how it would be applied at this point. Because of the high level of localization of court operations, customer acceptance is a significant risk.
9.	User Training Needs	The project provides appropriate training to support configuration and operation of the systems, services, and processes.	Medium	There are significant training requirements for implementing a statewide application in 32 judicial districts. AOC recognizes this and is being responsive in its planning.
10.	User Justification	User justification for the project is reasonably sound and has been shared and substantiated by user groups participating in the project.	Low	There is high demand from court users for a modern system. The business case for this application is to be documented in the feasibility study.
Decision Drivers				
11.	Political Influences	Project built upon solid business improvement initiatives. Project plans are reasonable; accommodate political realities and business needs and cycles.	Low	These plans are being developed through early business process analysis efforts.
12.	Convenient Date	The implementation date is reasonable, and established by an appropriate planning process.	Medium	There is a high demand by courts for implementation as soon as possible.
13.	Attractive Technology	The project is using proven and stable technology that the state has experience implementing.	Low	Projected technology is consistent with AOC current technology environment and direction. Sound methods are being employed for selection of technology.
14.	Short-Term Solution	The project is implemented in an incremental approach where business operations are enabled with each increment.	Medium	Current plans anticipate an incremental, court based rollout. The largest courts may require additional staging.
Development Environment				
15.	Physical Facilities	Physical facilities for systems and support staff are planned, reasonable, and appropriate.	Low	The AOC is making initial plans to address this in the migration plans.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
16.	Hardware Platform	The hardware is appropriate, stable, and has sufficient capacity to support planned implementations.	Low	Projected technology is consistent with AOC current technology environment and direction. Sound methods are being employed for selection of technology.
17.	Tools Availability	Appropriate technical tools are available to support personnel that are implementing, supporting, and maintaining the systems, services, and processes.	High	EA services are not in place. No plans are in effect to implement the AOC EA architecture.
18.	Vendor Support	The vendor support is reasonable for the size and complexity of this project.	Low	Support will be a contractual requirement.
19.	Contract Fit	The contract is reasonable and fair, and the reporting requirements are appropriate.	Low	AOC and the solution provider are expected to execute a reasonable contract.
20.	Disaster Recovery	Disaster recovery services are part of the project plan. Business continuity planning addresses all systems, services, and processes.	Low	AOC has disaster recovery and business continuity procedures and plans in place.
Development Process				
21.	Alternatives Analysis	A reasonable alternative analysis has been completed.	Low	Feasibility study process includes examination of alternatives.
22.	Commitment Process	Project commitments are reasonably stable. Changes to commitments in scope, content, and schedule are reviewed and approved by all involved.	Medium ↓	JISC reviews scope. There has been significant change in scope. There is potential for additional scope changes.
23.	Quality Assurance Approach	Quality assurance is a planned part of the process. Quality assurance is built into the process. Quality control validates project deliverables and work products.	Low	AOC plans to conduct testing throughout the configuration and implementation process.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
24.	Development Documentation	Appropriate documentation to support the configuration and operations of the systems, services, and processes exists or is planned and serves the needs of the state's staff.	Low	AOC expects the solution provider to provide appropriate documentation.
25.	Use of Defined Engineering Process	The project follows a structured process for engineering systems, services, and work flow. Processes are repeatable, stable, and adaptable.	Low	AOC expects the solution provider to provide a methodology for engineering systems and business processes.
26.	Early Identification of Defects	The project has implemented procedures to identify defects and deficiencies early in the process so that the project can correct problems without causing disruption.	High	Because of the complex environment and the high level of localization, deficiencies will likely be high, resulting in many change requests.
27.	Defect Tracking	A defect tracking system is in place and used, and reliably tracks all product defects and deficiencies.	Low	This is likely to be the case, given the approach taken by the AOC.
28.	Change Control for Work Products	The project follows a change control process that effectively tracks all change orders. Change orders are reasonable.	Low	This is likely to be the case, given the approach taken by the AOC.
29.	Lessons Learned	The project tracks and assesses lessons learned at appropriate intervals. The project uses lessons learned to improve their processes and productivity.	Medium	Lessons learned from previous projects are considered. There are significant changes to be made, requiring implementation and experience.
Organization Management				
30.	Organizational Stability	The organization in which the project operates is reasonably organizationally stable with minimal staff turnover.	Medium	The AOC ISD organization has changed significantly in the last 2 years. The environment is stabilizing and optimizing.
31.	Organization Roles and Responsibility	Organizational roles and responsibilities are well-defined within and external to the project.	Medium	Significant change has occurred. The environment is stabilizing and optimizing.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
32.	Policies and Standards	Organizational polices and standards are documented, understood, and followed by project team members and other participants.	Medium	Significant change has occurred. The environment is stabilizing and optimizing, a result of implementing a 6-year transformation plan.
33.	Management Support	The management line of authority for which the project reports (including matrix reporting lines) supports and enables the project to succeed.	Low	The management line of authority is actively involved, provides support for the project. and is engaged in regular project meetings.
34.	Executive Involvement	The executive responsible for the project is reasonably engaged and supportive, effectively manages escalated items, and enables project success.	Low	The state court administrator and the executive team are actively engaged. Funding is committed.
35.	Resource Conflict	Organizational resources are reasonably available to the project sufficient to complete tasks and maintain the project schedule.	High	AOC staff are assigned to many active project and initiatives. AOC staff also has primary functional responsibilities. The project is at risk because staff will have competing demands for their time that may interfere with project work.
36.	Customer Conflict	The objectives and outcomes are consistent among customers, stakeholders, and the project team.	High	The level of cooperation between judges, court administrators, clerks, and justice partners varies from county to county. There are some differences in agenda between the statewide associations representing these entities. Within those associations, there are major differences as well.
Product Content				
37.	Requirements Stability	The requirements are reasonably stable. Change requests are within expected tolerances.	High	The interpretation of requirements between groups has been an issue. Some key processes have many different implementations between courts.
38.	Requirements Complete and Clear	Requirements are comprehensive, complete, clear, and have been examined among the project stakeholder groups. (SMART)	Medium	Requirements are reasonably complete. Some ancillary requirements are weak. The requirements have not been thoroughly vetted by a well-organized group of representatives of all users.
39.	Testability	The project requirements can be tested and validated. (SMART)	Low	System will need to be tested from a business functional approach.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
40.	Design Difficulty	The design of the system, services, and processes is well defined and understood.	Low	Leading solution providers have architected their systems to be flexible to meet multiple court configuration needs.
41.	Implementation Difficulty	The implementation of systems, services, and processes is well defined and not overly complex.	High	Implementation in the court environment will be complex due to the differences among the stakeholders and the local court rule variations among the courts. Some courts may have no or little IT support to assist in implementation activities.
42.	System Dependencies	External systems dependencies are well defined and have been validated. No external dependency will cause project delays.	High	AOC has several active projects and initiatives that potentially can impact this project. Implementation and integration of AOC EA is not defined or planned. The creation of an SDR is in the planning phase but not funded.
43.	Overall Product Quality	The product quality is high, conforms to industry norms, contains good workmanship, is internally coherent, and is consistent with other work products.	Medium	Commercial systems are proven. The experience and quality in the market place is uneven. The depth of talent in the market has been impacted by labor constraints.
Project Management				
44.	Definition of Project	The project is well planned with reasonable outcomes, and should lead to achieving project objectives and outcomes.	Low	Precise scope and objectives are being refined. This is likely to be resolved, given the approach taken by the AOC.
45.	Project Objectives	Project objectives are well formed, measurable, reasonable, and achievable. (SMART)	Low	Project objective are defined in the project charter.
46.	Leadership	Project leadership within the project and above the project is supportive, engaged, and helpful.	Low	AOC leadership is actively engaged In the project.
47.	Project Management Approach	The project management approach, operations, procedures, and controls follow best practices and are used consistently. Project practices conform to PMBOK standards.	Low	The AOC project management office will employ PMBOK processes.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
48.	Project Management Communication	The project team follows a structured plan to communicate project progress, issues, status, and information to management, stakeholders, and affected users.	Medium	Communication with stakeholders has continued to be improved. A communication plan is being developed as part of the project management plan and will be followed.
49.	Project Manager Experience	The project manager has experience completing projects of similar size and complexity in an enterprise government environment.	Low	The current project manager has experience with large systems implementations.
50.	Project Manager Attitude	The project manager has a positive attitude and works well with management, project staff, and project leadership in the project, resolving issues as they arise.	Low	The project manager is a professional project manager who is providing planning, organization, controls, and leadership to the project.
51.	Project Management Authority	The project manager has appropriate authority to make project decisions, to make assignments to project and functional staff, and to make project expenditures.	Low	The project manager has reasonable authority and communicates well with AOC leadership.
52.	Support of Project Manager	The project manager receives positive support from their management, the executive sponsor, and stakeholders.	Low	AOC leadership provides a high level of support to the project manager.
53.	Project Management Planning	Project management planning includes the project planning components suggested by PMBOK.	High	Integration of ancillary AOC projects has not been accomplished. There are many possible dependencies and conflicts for resources.
54.	Project Closure	Appropriate project completion activities, including contract closure, post implementation reviews, and lessons learned, are planned.	Low	AOC has standard project closure processes.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
55.	Work Breakdown Structure	A well-formed work breakdown structure exists and is followed. Project activities result in addressing all goals and outcomes.	Medium	Need to be developed once AOC selects a solution provider. This is likely to be the case, given the approach taken by the AOC.
56.	Communication Planning	The project follows a structured communication plan that shares information with management and stakeholders. Stakeholders and management know the project status, issues, and plans.	Medium	AOC is working to strengthen their communication processes. A communication plan is being developed and will be followed.
57.	Risk Management Process	The project has a risk management process. The project assesses risk on a regular, ongoing basis. Risk mitigation plans are developed for high-risk items.	Low	The project will follow the PMBOK risk management process to identify and mitigate risk.
58.	Procurement Planning	The project has a procurement plan that enables the project to acquire products and services necessary to achieve its outcomes.	Low	AOC procurement has a well-defined acquisition process. Staff and standards are also clearly defined. They will follow Washington procurement guidelines.
59.	Issue Management	A well-structured issue management process is in place. The project tracks issues and escalates them when necessary.	Low	AOC tracks issues as part of their project management process.
Project Parameters				
60.	Project Size	The project size is manageable within the capability of the project manager and the agency.	High	Project is greater than $20 Million and involves implementing the SC-CMS in 32 judicial districts.
61.	Hardware Constraints	Hardware constraints are reasonable for the enterprise environment.	Low	The technology infrastructure will be developed within the existing AOC support group. Hardware constraints are understood.
62.	Reusable Components	The information systems architecture is built using reusable hardware and software components.	Low	The application will be developed using modern application architectural principles that promote the use of repeatable software.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
63.	Supplied Components	The system components are available and are reasonably stable.	Low	Several software vendors provide court applications that are proven in other state court environments. The vendor applications provide the functionality to meet business operational needs.
64.	Budget and Resource Size	The project has sufficient budget and personnel resources to accomplish its tasks and achieve its outcomes.	High	AOC has identified funds for this application. State and local governments in Washington are in a fiscal crisis. Local courts abilities to implement will be impacted. Budget funding has been identified and reserved. AOC is actively working with the JISC to gain legislative support.
65.	Budget Constraints	Budgeted funds are available for appropriate project related expenditures.	Medium	Budget funds are limited and constrained by current economic conditions.
66.	Cost Controls	Appropriate and reasonable cost controls are in place to ensure proper accounting and control of all project-related expenditures.	Low	AOC has standard financial management systems and controls in place to manage project costs.
67.	Delivery Commitments	Project commitments to stakeholders are well documented and reasonably stable.	Medium	AOC has many competing projects that are being prioritized.
68.	Development Schedule	The project development schedule is well defined, contains a critical path, and is reasonably achievable.	High	This needs to be base-lined once a solution provider has been defined. It will likely be a complex implementation schedule requiring multiple concurrent implementations, if required to be deployed in all judicial districts.
Project Team				
69.	Team Member Availability	Project team members are available and stable. Functional project team members are allowed to complete project activities given competing responsibilities.	High	AOC has many competing projects. This impacts the ability of team members to contribute in-depth analysis.
70.	Mix of Team Skills	The project team has a reasonable mix of skills appropriate to perform the tasks necessary to achieve project objectives. Specialty skills can be easily obtained.	Medium	AOC has a reasonable mix of team skills. Team members assigned to the current project represent this diversity of skills, which benefits the project. At the time of implementation there may not be sufficient staff availability to support multiple court implementations.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
71.	Application Experience	The project team has reasonable experience and skills with the technology.	Low	The selected vendor is likely to be able to provide experienced staff. AOC has been able to assign experienced staff.
72.	Experience With Project Hardware and Software	The project team has reasonable experience with the project hardware and software. In-depth support is available to the project team.	Low	The selected vendor is likely to be able to provide experienced staff. AOC has experienced infrastructure staff
73.	Experience With Process	The project team has experience with the configuration and operation of the systems, processes, and services. Knowledge transfer is planned.	High	AOC has not implemented a third-party application. The team currently lacks the needed experience.
74.	Training of Team	A training plan exists to ensure that project staff acquires the necessary skills to conduct the assigned tasks.	Low	AOC plans to provide project staff with appropriate training to ensure they have the skills to accomplish assigned tasks.
75.	Team Spirit and Attitude	The project team understands the project objectives and works cooperatively and productively.	Low	AOC staff understands the need to modernize the systems and applications they support.
76.	Team Productivity	The project team maintains reasonable productivity to accomplish tasks, maintains the project schedule, and resolves issues and risks that may occur.	Low	AOC staff and the project team are productive. Competing project assignments exist.
77.	Expertise With Application Area (Domain)	The project has expertise or has access to expertise to support the systems, services, and processes associated with the program.	Low	AOC has staff who understand the superior court environment. AOC is bringing SMEs to supplement this knowledge.
Technology				
78.	Technology Match to Project	The technology matches the project and the operational environment that must be supported.	Low	AOC is familiar with the proposed technology.

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
79.	Technology Experience of Project Team	The project team has adequate experience, knowledge, skills, and abilities to configure, implement, and support the systems, services, and processes.	Low	AOC has reasonable experience with the technology. The solution provider will provide experience with the application and its underlying technology.
80.	Availability of Technology Expertise	Expertise is available to support the design, configuration, implementation, and ongoing support and maintenance of the system, services, and processes. Escalation support is available.	Low	AOC has staff available to support the infrastructure. The solution provider will provide experienced staff for configuring and supporting the application.
81.	Maturity of Technology	The technology is reasonably mature and the organization has experience using the system, services, and process.	Low	The proposed technology has been implemented in other states and jurisdictions.

NBR	Standard	Expectations	Rating	Findings
Product Standards				
Deployment				
82.	Hardware Resources for Deliverables	Hardware resources are reasonable for the size, complexity, and diversity of the state programs that will participate.	Low	The planned infrastructure is reasonable.
83.	Response or Other Performance Factors	System response time and performance are reasonable and within business tolerance limits. Performance is measured and reported.	Low	The solution provider will collaborate with AOC to ensure that system performance is adequate.
84.	Customer Service Impact	The impact to customer operations is reasonable.	High	There is the potential for significant impacts to operations during implementation.
85.	Data Migration Required	Data migration and conversion are planned, configured, and validated.	High	There are complex data migration requirements.

RISK SCORECARD

NBR	Standard	Expectations	Rating	Findings
86.	Pilot Approach	The project uses a pilot approach to validate configuration, identify potential issues, and provide experience using the systems, services, and processes.	Low	A pilot implementation is planned.
87.	Contingency/ Back-Out Strategy	The deployment has a clear plan and path for returning to prior systems and business operations.	Medium	Implementation will result in commitment to new process. Back-out is possible but may disrupt court operations.
88.	External Hardware or Software Interfaces	External interfaces are defined and reasonable for the complexity of the systems being implemented.	Medium	This is not well understood at this time. This may be the case, given the approach taken by the AOC.
Maintenance				
89.	Design Complexity	The design of the systems, services, and processes is understandable, documented, and can be reasonably assimilated by state technical staff.	Medium	There are likely to be complex EA data-sharing requirements on top of a sophisticated commercial application.
90.	Support Personnel	Support staff is available in a multi-tiered structure to accommodate problems that may arise. Support personnel can handle problems in a reasonable timeframe.	Low	The solution provider will provide the support.

Washington State Administrative Office of the Courts

Superior Court Management Feasibility Study

Integration Evaluation
Version 1.3
Deliverable 7

PSC 11062 Superior Court Management Feasibility Study Project

DRAFT

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Document History

Author	Version	Date	Comments
Robert Marlatt	1.0	4/25/2011	Initial draft.
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I. Introduction

A. Purpose

The Superior Court Management Feasibility Study (SCMFS) project is intended to provide the research and analysis needed to make informed decisions on which software applications would meet the business needs of the Superior Courts for managing case flow, calendaring, and other needed functions as defined by the SCMFS Executive Sponsor Committee (ESC) in support of judicial decision making and scheduling.

The Integration Evaluation is deliverable number 7 of the PCS 11062 SCMFS contract. This contract has been approved and signed by the Washington Administrative Office of the Courts (AOC) and MTG Management Consultants, L.L.C. (MTG), the vendor with whom AOC has contracted to assist in the SCMFS project.

The Integration Evaluation describes the level of independence and interdependence of the best-few alternatives operating within the AOC systems environment to operate independently while integrating with AOC systems and functionality. This evaluation also explains how the alternatives would integrate with functionality provided by AOC legacy systems. This discussion will also include data integration considerations.

B. Approach

AOC commissioned a feasibility study for improving Superior Court management information systems in Washington State. To prepare the feasibility study, MTG Management Consultants, LLC, has assessed several alternatives, including a commercial application and a transfer application, based on Pierce County's Legal Information Network Exchange (LINX) system. This Integration Evaluation considers how AOC can integrate a new Superior Court Case Management System (SC-CMS), regardless of which application AOC selects, to support Washington superior court operations statewide.

The Integration Evaluation considers the decisions that must be addressed to allow the new application to fit within the existing and planned technology environment. This deliverable considers the business integration and the technology integration of the system.

C. Scope

The scope of the integration evaluation is to provide a plan for AOC to deploy a SC-CMS computer application in the 32 superior court districts that operate in Washington State. To implement a new system, the AOC, the courts, and the clerks must migrate their respective operations from the current roles, procedures, and information systems to a new operating environment. This plan identifies the components and factors that need to be considered as they embark on this significant change.

The ESC developed a definition of the functional scope of the desired application. APPENDIX A – Functional Scope provides the scope for this project and describes the capabilities that will be available to the superior courts to support their business operations.

D. Acronyms and Definitions

This subsection provides definitions for acronyms and terms used throughout the document.

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Acronym or Term	Definition
ACCESS	Washington State Patrol Contemporary Crime Information System. This system contains current crime information, including warrants, restraining orders, stolen property, stolen vehicles, etc.
ACCORDS	Appellate Court Records and Data System – an AOC application that supports the appellate courts.
AOC	Washington State Administrative Office of the Courts.
API	Application Programming Interface – a program that shares information with another external system.
CBO	Courts Business Office.
CLJ	Courts of Limited Jurisdiction.
CMS	Case Management System.
COTS	Commercial Off-the-Shelf Software – commercial application software packages.
CPS	The Washington DSHS Child Protective Service Division.
DCS	The DSHS Division of Child Support.
DIS	Department of Information Services.
DOH	Department of Health.
DOL	Department of Licensing.
DOR	Washington Department of Revenue.
DSHS	Department of Social and Health Services.
EA	Enterprise Architecture.
ESC	Executive Sponsor Committee.
FBI	Federal Bureau of Investigation.
IBM	International Business Machines.
INS	The United States Immigration and Naturalization Service.
ISD	Information Services Division.
IT	Information Technology.
ITIL	Information Technology Infrastructure Library.
JABS	Judicial Access Browser System – an application that provides a simplified view of criminal history and other offender profile information. It is available to all court levels and used typically by judicial officers and court staff. It provides a Web-based interface to allow court personnel to view cases and proceedings scheduled to be heard for a judge or a room for a day.
JCS	Juvenile and Corrections System – the Juvenile Court referral management tool used by the Superior Court Juvenile departments.
JIS	Judicial Information System.
JIS Accounting	AOC Financial Accounting Application that support superior court financial transactions and reporting.
JIS LINK	The public Web portal that allows public access to court information. Case participants can access case-related information, schedules, and court information.

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Acronym or Term	Definition
JIS Person	Court person information as well as other entities.
JISC	Judicial Information Systems Committee – the customer governance council for court information systems managed by AOC.
JSD	AOC Judicial Services Division.
L&I	Washington Department of Labor and Industry.
LEA	Law Enforcement Agency.
LINX	Legal Information Network Exchange, Pierce County's information system.
MDE	Major Design Elements.
MDM	Master Data Model.
MS	Microsoft.
MSD	AOC Management Services Division.
NCSC	National Center for State Courts.
NICS	The National Instant Criminal Background Check System, operated by the FBI.
NIEM	National Information Exchange Model.
PA	County Prosecuting Attorney Office.
RALJ	Rules for Appeal of Decisions of Courts of Limited Jurisdiction (CLJs).
RCW	Revised Code of Washington.
RFP	Request for Proposal.
SC-CMS	Superior Court Case Management System (new application).
SCMFS	Superior Court Management Feasibility Study.
SCOMIS	Superior Court Management Information System – supports Washington state superior court business operations.
SDR	Statewide Data Repository.
SOS	Washington Secretary of State.
SQA	Software Quality Assurance.
UDM	Unified Data Model.
WSBA	Washington State Bar Association.
WSIC	Washington Securities and Investment Corporation.
WSP	Washington State Patrol.
WSSR	Washington State Support Registry.

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E. Assumptions

This subsection provides assumptions that are applicable to the integration evaluation.

- The AOC will establish a Statewide Data Repository (SDR). The SDR will be a stand-alone statewide data repository that operates within the Information Networking Data Services facility in the AOC EA. Appendix D contains the design of the EA Information Networking Hub.
- SC-CMS will not provide the SDR functions. It will provide data exchanges to the SDR.
- Data exchanges between current data stores (databases updated by JIS, SCOMIS, etc.)
- SC-CMS will provide event-driven data exchanges that will update the SDR and consume statewide case and information entity data.
- The LINX and Commercial CMS alternative approaches will operate under the same interoperability architecture.
- The design and planning assumptions include assumptions that the SC-CMS will integrate with the EA, as designed by AOC.

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II. Alternatives

The Requirements Gap Analysis[1] established the alternatives to be considered for the SCMFS and compared the stated needs of the Superior Courts for case flow management, calendaring, and select case management functions against the three identified alternatives. This section provides a description of each alternative. The section also provides the recommendation from the Gap Analysis.

A. Alternative 1 – Pierce County LINX

The LINX family of software system applications was developed and deployed in Pierce County and has been in use by the county's justice community for 16 years. It is supported and maintained by Pierce County IT. The Pierce County Council has agreed to release and manage the application that the county develops as open-source software.

LINX provides records management and operational support for several law enforcement and justice organizations in Pierce County. LINX uses an integrated architecture made up of a series of core applications, shared functions, and shared data.

In a partnership with Pierce County or in a consortium for the statewide use of LINX for the Superior Courts, the AOC would assume responsibility for day-to-day support of the courts' implementations of LINX. The exception to this responsibility would be in Pierce County, where the county's IT organization would support LINX as it does today.

B. Alternative 2 – Calendaring, Scheduling, Case Flow Management Applications

The second alternative is a commercially available calendaring, scheduling, and case flow management application. This type of application would be built specifically for calendaring, scheduling, and case flow management in the courts. Very few solutions exist that demonstrate the ability to deploy the scope of functionality required by the Superior Courts.

The Calendaring, Scheduling, Case Flow Management alternative is differentiated from the full-feature commercial CMS in that it is exclusively focused on the management of the court's calendar and supports tracking the events necessary to ensure that cases adhere to schedules and time standards. This alternative is a judicial and trial court administration tool only. Solutions that fall into this alternative will not serve as a repository for court records or serve other court functions.

C. Alternative 3 – Commercial CMS

The third alternative is a commercially available CMS. The court systems market offers well over a dozen systems that provide case management functions. Of that number, approximately a half dozen solution providers may be considered capable of providing both the scope of functionality and the scale of implementation services necessary to implement a system in the Superior Courts.

The majority of commercial CMS vendors base their product(s) on the National Center for State Courts' (NCSC's) Case Management Functional Specifications. These requirements were developed in the early 2000s in an effort to define the functions that should be provided by a

[1] See Gap SCMS Gap Analysis, Deliverable Number 5.

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court CMS. The major case types, functions, and data groups defined in those efforts are shown in the table below.

Case Types	Major Functions	
• Civil • Criminal • Juvenile • Domestic Relations • Traffic	• Case Initiation and Indexing • Docketing and Related Recordkeeping • Hearings • Disposition • Execution • Case Close • Scheduling	• Calendaring • Financial • Document Generation and Processing • Management and Statistical Reports • File and Property Management • Security
Data Groups		
• Case • Person • Event • Financial • Document and Report		

While most commercial vendors have utilized the NCSC standards in the development of their CMS product, individual products vary significantly in the functionality that they provide. This differentiation is primarily based on the needs of each provider's customer base. In general, the broad customer base that major vendors serve has enabled them to base their CMSs on best practices in court case management. The need to serve a broad range of customers has also required CMS vendors to provide solutions with a high degree of configurability in order to minimize the costs of developing custom code and managing releases to support divergent code sets.

Acquisition of a commercial software product will require issuing an RFP and conducting a competitive procurement process. This process will be contingent upon funding and the availability of solutions in the market that can meet the needs of the Superior Courts. The product that will ultimately be selected must meet the business needs of the Superior Courts as well as the data needs and architectural constraints of the AOC as effectively as possible within the allocated budget.

The goal of a COTS purchase is to find a solution that can adapt to the business of the courts and the AOC without major alterations to the solution's code base. This will allow the courts and the AOC to remain on the product's maintenance and release schedule and benefit from the demands for system improvement from the vendor's broader client base.

D. Recommendation

The Requirements Gap Analysis recommended the Commercial CMS option. In general, the rationale for this recommendation was that the commercial CMS alternative provides a greater degree of alignment with Judicial Information Systems Committee (JISC) strategies as defined in the IT strategic plan. The following subsections describe the major points in the rationale for this recommendation.

1. Need for Custom Application Development

Of the three alternatives considered in the Requirements Gap Analysis, the commercial alternatives require much less application development than the LINX alternative. The level of

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development required for bridging gaps for the CMS and the limited scope calendaring and case flow management application are comparable.

2. Application Development, Deployment, and Support Organization

The implementation of an application for the Superior Courts across Washington will require an effective application development, implementation, and support organization. The better structured and well established this organization is, the more likely it is that the implementation will succeed. The LINX alternative would require Pierce County and the AOC to design and establish this type of organization in a rather short time. As noted above, this organization would blend key Pierce County experts on the LINX system with resources funded by and provided directly by the AOC. The organizational agreements and the operational plans and procedures would need to be in place and fully functional by January 2012 to meet initial project timelines. This would be difficult to accomplish, and the resulting organization would lack experience and proven practices.

3. Alignment With AOC EA

Of the three alternatives considered, the commercial alternatives most closely align with the JIS enterprise architecture. The majority of commercial CMS providers that responded to the survey currently utilize technologies that align well with the AOC EA. This community has experience working collaboratively with courts and state court systems on EA management as they implement their products. The respondents who did not support the AOC EA were primarily noncompliant in the database area, where a minority of providers uses Oracle exclusively. While this EA component does reduce the number of compliant solutions, the reduction in numbers is not significant enough to substantially affect the market's ability to deliver a fully functional solution.

4. Application Ownership and Evolution

Any commercial solution that the JISC chooses will have an already-established support and development organization in place to ensure that the application remains viable and improves over time. Over the long term, commercial vendors are focused on and prepared to serve court organizations such as the Washington courts and the AOC. Several of these providers have well-established organizations, resources, and methods for providing this support. In addition, the future of these organizations is focused on the court market and is aligned with the operational agendas of their court customers. While the AOC will not have direct ownership of a commercial product and the product's evolution may be subject to influence by the vendor's business plan or other customers, it is likely that the Superior Courts will be among any vendor's largest customers and can expect a corresponding level of influence on the product's direction.

E. Implications for Integration

The Gap Analysis provided insights on the capabilities and viability of the leading alternatives.

- None of the proposed applications will replace the current JIS data structure as the statewide repository of court data. The new AOC Information Networking Hub – Information Networking Data Services will contain the SDR and the services necessary to support event-driven data exchanges and batch interfaces with court's state and local external partners.
- The LINX and Commercial CMS alternatives are materially similar in their statewide integration. Both approaches will:

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  - Publish every event to the SDR using SC-CMS information exchanges that will send and receive event specific data-to-data exchanges that are established for the Information Networking Data Services.
  - Leverage the AOC Information Networking Data Services to exchange information with statewide entities using the Migration services.
- Commercial CMS is positioned to publish and consume data with local court systems via the AOC Information Networking Data Services.
- LINX is designed to integrated with local jurisdictions with a shared data structure and application architecture. However, if it publishes and consumes data with locals, this will occur using the AOC Information Networking Data Services through the Information Exchange Broker.

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III. Integration Requirements

SC-CMS will be implemented into a statewide court infrastructure as one of a number of IT assets, which must interoperate to:

- Provide economies of scale in IT management.
- Provide efficiencies to the court personnel in statewide information sharing.
- Provide flexibility to allow local courts to access statewide and local court data.

SC-CMS will be implemented into a local court's IT portfolio (where applicable) and integrated with local applications internal and external to the courts. Some local application such as Jury Management may provide data to the SC-CMS. The SC-CMS application will both provide and consume data contained the SDR.

Some of these integration points are part of the baseline level of integration required of any CMS. Capabilities in place today provide interfaces to court's external partners. Some integration points will be enhancements that provide economies that have not yet been realized. This section discusses both the baseline and enhanced integration requirements associated with implementing a new SC-CMS application.

A. Baseline Integration Requirements

The SC-CMS will be implemented into the two application environments: the AOC's EA and the local application architecture of the superior court and its court community. In addition, SC-CMS has the potential to replace the court case management functions of SCOMIS.

This situation creates a series of baseline integration requirements for SC-CMS. These are:

- Providing the SDR.
- Maintaining existing statewide interfaces and interoperability.
- Maintaining existing local interfaces and interoperability.
- Interoperating with the proposed AOC enterprise architecture.

This section provides an overview of each of these major baseline integration requirements.

1. SDR

The proposed SC-CMS application will perform the case management, docketing, calendaring and scheduling functions, as well as the other functions defined in the scope. (See Appendix A) The system is intended to be a fully functional application, supporting the business operations of Washington superior courts. The SC-CMS will support the operational needs of judges, court administrators, and court clerks, as well as providing other court participants with access to case and docket information through an AOC Web portal.

The SC-CMS application is expected to provide local courts the same and some additional capabilities as compared to those available in the current AOC SCOMIS application. When all courts have migrated to the new SC-CMS application or established data exchanges to support their own applications, the SCOMIS application will be decommissioned.

AOC is developing an Information Networking Hub that will contain a new SDR. The SDR will replace the existing JIS database as the statewide repository of court information. The SC-CMS application will send and receive court data to/from the SDR through standard interfaces using the Information Exchange Broker. For example, The SC-CMS will query the SDR to identify other court cases around the state in which a person may be participating. The SC-CMS will send case-related data to the SDR upon case initiation and throughout the judicial process.

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The SC-CMS application will interoperate with the AOC Information Networking Data Services and Information Exchange Broker to access a "well-identified" person index and maintain the statewide index of court cases. The SC-CMS will not provide the statewide index of court cases that SCOMIS provides. The SC-CMS will exchange data with the SDR, which must maintain the statewide index of court cases and related case information.

Most data interfaces will query the SDR to extract, transform, and send interface event and aggregate batch data. The SC-CMS application will use these central services for sharing and retrieving court data.

2. Statewide Interfaces and Interoperability

AOC currently supports several point-to-point interfaces with internal court applications and external partners. The data entered into the AOC SCOMIS application updates the JIS database. AOC operations initiate interface programs that extract data from the JIS database, format the data, and place it into the appropriate interface media. Interfaces are typically batch-formatted files containing multiple records corresponding to a given period (i.e., daily, weekly, or monthly data).

The current incoming and outgoing interfaces AOC supports are listed in Appendix B. The appendix shows all the current interfaces with external state agencies supported from the JIS database. It also shows the interfaces that feed local court applications. These interfaces are all periodic file transfers into or out of the JIS data structures.

The SC-CMS may have to continue to support the inbound and outbound interfaces to hold the partner organization harmless in the transition to SC-CMS. Once the AOC Information Networking Hub is implemented, the interfaces should be transferred from the SC-CMS application to the AOC Information Networking Hub.

3. Local Interfaces and Interoperability

Some courts have implemented their own court applications. They have worked with AOC to develop interfaces between their case management systems and court applications that are used by the court or clerk.

Some local courts may have developed similar interfaces with SCOMIS. These are shown in Appendix B as well. The appendix shows all current interfaces with the JIS database that SCOMIS currently updates. All table entries with an "L" in the State or Local Interface column denote local interfaces that are currently in place. These are all periodic file transfers either into or out of the JIS data structures. The SC-CMS will have to enable many of these courts to support these interfaces.

4. AOC Enterprise Architecture

The Information Networking Hub is shown in Appendix C. This diagram shows the design of the AOC architecture that will provide the SDR and the data exchanges with local, state, and other external partners. The Information Networking Hub is described the AOC Architectural White Paper No. 2010-001, Foundation for Modern Judicial Information Systems in Washington State.

The Information Exchange Broker physically manages the data exchanges between the Information Networking Data Services and external AOC and partner systems. The Information Networking Data Services include the SDR and the statewide data warehouse The Information Networking Hub binds together the various application components (both existing and targeted) by providing centralized data management as well as the infrastructure and services to support a fully integrated environment. The major components are the Information Business Services,

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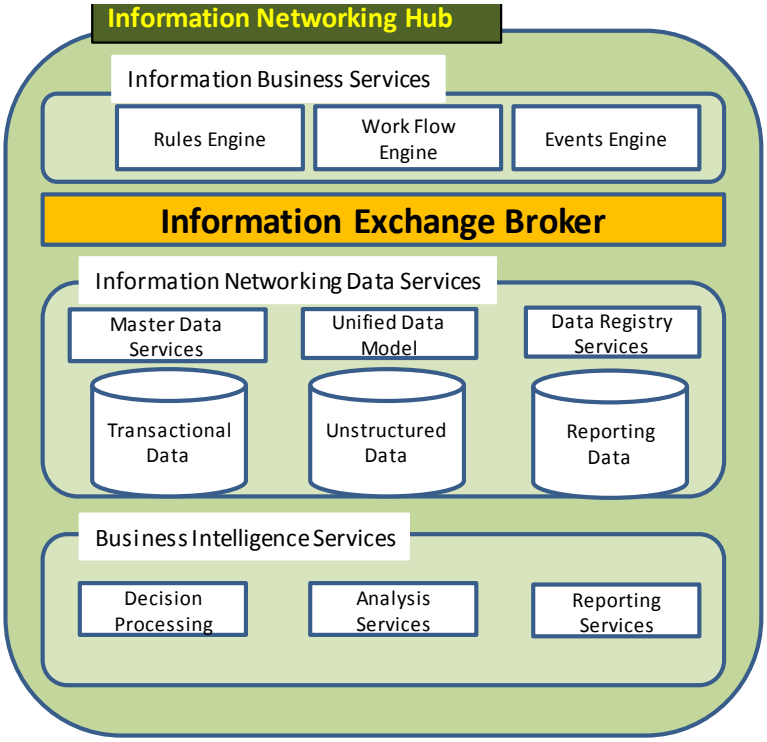
the Information Exchange Broker, the Information Networking Data Services, and Business Intelligence Services.



The Information Exchange Broker is the backbone of the Information Networking Hub. It performs the heavy lifting work by managing messages, routing, orchestration, and transformations.

The key concept behind information networking is that information is sent to a central repository (SDR) where it is immediately incorporated into that repository. Once in the central repository, the information is immediately available to those to whom access has been granted. The Unified Data Model provides the master definition for data. It is used so that any application database can be translated to any other application database. The data model will also be the one used to communicate with external organizations and will follow the National Information Exchange Model (NIEM) standards. The central repository contains three primary data stores: transaction data (combined data from all applications), unstructured data (documents, images, etc.), and reporting data (data for decision-making and references to data in other locations). The Information Networking Hub will also be used to register data that is actually stored outside of the central repository. This will be used so that information owned by other organizations does not have to be duplicated within the central repository.

The SC-CMS application operates outside the AOC Information Networking Hub. It has its own database and applications programs. However, the SC-CMS provides and consumes data from the Information Networking Hub through standard data exchanges. The SC-CMS application interoperates with the AOC Security Services and transport Methods and takes advantage of the AOC Access Points, which are included in the AOC EA plan. This enables standard and consistent application of security, enables common information transport methods (i.e., web, voice, wireless), and supports new and emerging access points such as smart phones, lap top computers, digital cameras, and telephones.

To accomplish this interoperability, AOC must:

- **Establish Linkage between the SDR and SC-CMS** – Establish the information exchanges between the new SC-CMS application and the SDR following the Unified Data Model (UDM) and Master Data Model (MDM) and standards using the Information Exchange Broker and the Information Networking Data Services.
- **Integrate with Enterprise Security Services** – The solution provider will implement the system following the security standards and procedures provided by AOC. This includes identity, authentication, and access management services.
- **Implement Changes Needed for Statewide Operating Reporting** – AOC Information Services Division (ISD) and the solution provider will establish the capability to capture statewide operational data and metrics to support the superior court statistical and other reporting services that AOC provides today.
- **Implement Changes needed for Web Portal** – AOC ISD and the solution provider will establish the public portal for case participants (i.e., attorney, defendants, litigants, etc.) to gain access to superior court information, either from the SDR or the SC-CMS database.

B. Enhanced Integration Requirements

The AOC has worked with subject matter experts from courts and clerk's offices in an extensive effort to define requirements and business processes for calendaring, scheduling, and case management. This effort has also identified new interfaces that are needed to automate information sharing to and from the superior courts. These requirements have been summarized in Appendix C.

Appendix C – Functional Requirements Information Exchanges contains a list of requirements that includes information exchanges with case participants and other entities in the judicial process. Most exchanges are in the form of various court documents. Some are electronic data exchanges. These requirements define the necessary information exchanges that will need to occur to support the business requirements.

C. Standard Information Exchanges

The baseline and enhanced integration requirements combine to require that SC-CMS publish data about essentially all events recorded in this new application. In addition, the court can realize economies if inbound data is received electronically, reviewed by the clerk or court staff, and committed to the SC-CMS database. If these interfaces are created in a bespoken manner, based on custom requirements, designs, and specifications developed for each interface request, the cost and time to implementation of these interfaces would be prohibitive. This is a barrier to interoperability for large and small courts alike.

The AOC and the solution provider should lower this barrier by creating and publishing a limited but robust set of standard, open Web services to address these exchanges. These exchanges should be exposed, discovered, employed, and managed under the Information Business Services components of the EA as described in the following section.

These standard Web services can be categorized as those that are part of a filing to the court and will be addressed through e-filing and other data submitted to or published by the court. The following is the list of potential standardized information Web services from the latter group:

- **Booking** – An inbound transaction notifying the court of individuals admitted into a detention facility and requiring a hearing.[2]

[2] This transaction would be one source of the SID for criminal matters before the court.

- **Reports and Notices to the Court** – Inbound interfaces with information for the court in a matter. These may include:
  - Arrest reports.
  - Reports of service.
  - Results of and progress reports for court-ordered treatment or other services.
  - Notice of capture, detention, escape, or release.
- **Scheduled Appearances** – An outbound transaction from the court to a local detention facility identifying the individuals from a detention facility that are to appear in court.
- **Event Notification** – An outbound transaction that provides notification of an event that has been recorded in a case, including failure to appear and summary of proceedings.
- **Order Detail** – A series of outbound transactions that provide electronic artifacts that represent an order by the court. These may include:
  - Indictment.
  - Notice of appointment of counsel.
  - Amended complaints.
  - Orders to agents of the courts, including presentence investigation orders.
  - Warrants issued and recalled, including:
    - Search warrants.
    - Arrest warrants.
    - Bench warrants.
    - Summons.
    - Subpoenas.
    - Protection orders issued and terminated.
    - Detainers (including Authorization to Continue Detention).
    - Remand orders.
    - Diversion orders.
    - Dismissals.
    - Release orders (including Personal Recognizance Bond).
    - Sentences and modifications to sentences.
    - Expungement orders.
- **Judgments** – A series of outbound transactions that provide electronic artifacts that represent a finding of fact by the court. These may include:
  - Acquittals.
  - Convictions.
  - Findings of violation of probation.
- **Victim Notification** – An outbound interface providing information about court schedules and events to support notification of victims in a criminal matter.
- **Collections** – A set of bidirectional interfaces, transmitting information about obligations to the court and receiving information about payments received against those obligations.
- **Scheduled Event** – A bidirectional interface with calendar information including, event, location, participants, and resources. This would support notification of hearing/trial dates and postponements, court dockets, and scheduling requests.
- **Case Detail** – An outbound transaction providing all or a subset of the records filed for a case, with the current status.

Approximately half of these transactions address interfaces currently in place for one or more current CMS implementations. In addition, this list of standard information Web services will be

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augmented by a well-defined set of e-filing capabilities. These capabilities would leverage standard Web services, including:

- **Initial and Subsequent Civil Filings** – These address a broad spectrum of general filings in civil cases.
- **Criminal Charging Documents** – An inbound interface for documents that are filed with the court to initiate a criminal case.
- **Requests and Petitions** –These are requests made to the court, including but not limited to:
    - Petitions for probation violation.
    - Applications for protection orders.
    - Motions.
- **Affidavits** – An inbound interface with a sworn and authenticated statement of fact. This will likely include a document image and metadata about that document. Examples include affidavits for:
    - Arrest warrants.
    - Search warrants.
    - Summonses.
    - Violation of probations.

E-filing and the other standardized information Web services greatly expand the information that can be automatically shared between the courts and their constituents. In fact, this set of standard interfaces will be developed to support all administrative interaction between the courts and their partners and customers.[3]

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[3] It is anticipated that while the standardized information Web services exceed the currently anticipated needs, some additional standard services will be developed and published over the years.

IV. Integration Solutions

The SC-CMS will become one of the new applications in the target JIS Environment. This environment is one component of the Washington State Judicial Information Systems, Future State Logical Architecture shown in EXHIBIT I, on the following page. SC-CMS will be one of the applications identified in the New JIS Application Environment. This environment is highlighted in light blue on the upper right side of that diagram.

This diagram helps describe the planned points of integration used by the SC-CMS to share information with state, local, and private sector organizations. These integration points include both direct SC-CMS integration points and other AOC integration points.

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Washington State Judicial Information Systems
Future State Logical Architecture

ISD Transformation

Washington State Administrative Office of the Courts
Enterprise Architecture
JIS Future State Architecture
Author: Eric Kruger
Version: v2.3
Date: 20 July 2010

Existing Application Portfolio

- ACORDS
- JIS Person
- SCOMIS
- JIS SCOMIS Integration
- JRS
- eTicketing
- CAPS
- JCS
- JIS CLJ Case Management
- JABS
- JIS Accounting
- Other Systems & Public Websites

Existing Databases

- Replicated Data (ODS)
- Transaction Database for Applications
- Other Data Sources
- Data Warehouse
- Data Marts

Synchronized Data

Existing Reporting

- Statewide Reporting
- Limited Real-time Reporting

Existing Data Exchanges

- Custom Load of Court Data
- Custom Data Exchanges

External Partners & Data Sources

- WSP
- Secretary of State
- Seattle Municipal Court
- Courts
- DSHS
- DIS
- Public
- DOC
- DOL
- AOC Research
- Bar Association

Existing Infrastructure Services

- Hardware
- Operating Systems
- Network Services
- Transaction Services
- Monitoring Services
- Application Services
- Database Services
- Storage Services
- Business Continuity

Information Networking Hub

Information Business Services

- Rules Engine
- Scheduling Engine
- Services Registry
- Events Engine
- Workflow Engine
- Messaging Engine
- Information Networking Services
- Unified Data Model

Information Exchange Broker

- Mediation
- Routing & Transformation
- Publish Subscribe
- Connectivity & Interoperability Synchronous & Asynchronous
- Orchestration
- Application Integration
- Quality of Service

Information Networking Data Services

Simple Data Services: Entity Insert, Entity Lookup, Entity Delete, Attribute Manipulation

Aggregate Data Services: Cross-Entity Insert, Cross-Entity Lookup, Cross-Entity Manipulation, Cross-Entity Delete

Data Rules

Data Validation Services: Data Value Verification, Completeness Check, Data Linkage Validation

Content Management Services: Data Storage, Data Retrieval, Data Transformation

Migration Services: Extract Transform Load, Data Distribution, Data Replication

- Data Governance
- Data Stewardship

Master Data Services: Identity Analytics, Data History Management, Workflow Management, Data Issue Notification

Data Cleansing

Data Search

- Transactional Data
- Unstructured Data
- Reporting Data

Data Registry Services: Data Location Management, Remote Data Access

Synchronized Data

Business Intelligence Services

- Real-time Information Sevices
- Decision Processing
- Analysis Services
- Statewide Reporting Services

Services Hub

Business Data Services
Services performing operations on data such as object to relational mapping and Create, Read, Update and delete operation on business data.

Business Process Services
Orchestrations and workflows of lower level services.

Business Function Services
Business Functions such a 'Initiate Case'.

Business Framework Services
Supporting generic functions containing business rules, e.g: document management, routing, etc.

Technical Framework Services
Generic functional without business rules, e.g: Security, Audit.

Infrastructure Services
Hardware and software that enables services e.g: Network, Servers, Storage, Database, etc.

Technical Utility Services
Highly standardized and commoditized services e.g: Data Transformation, Search, Fax, etc.

Security

- Identity Management
- Entitlements and Policies
- Certificate Services
- Authorization Services
- Authentication Services

Target JIS Environment

Transport Methods

- Wireless
- Other
- File Transfer
- Inter Governmental Network (IGN)
- Audio
- XML
- Statewide Governmental Network (SGN)
- Video
- Graphic Images
- Internet
- Data Media
- File
- Voice Service
- Text
- Cell Service
- Local Networks

New JIS Application Environment

- Purchased (COTS) Applications
- Custom Applications
- COTS Databases
- Custom Application Databases
- Hybrid Applications
- AOC Hosted Applications
- Hybrid Databases
- AOC Hosted Databases

External Court Systems

- LINX
- MCIS
- Others
- Local Application Database
- Local Application Database
- Other Local Application Database

External Non-Court Systems

- DOL
- WSP
- SOS
- Others
- Local Application Database
- Local Application Database
- Local Application Database
- Local Application Database
- Software as a Service (SaaS) Applications
- Cloud Applications
- SaaS Data
- Cloud Databases

Access Points

- AOC Portal
- Public Portal
- Justice Partner Portal
- Court Portal

Fax Machine, Projector, Scanner, Plotter, Web Cam, Speakers, Phone, PDA, Video Camera, SmartPhone, Servers, Digital Camera, Cash Register, FingerPrint reader, Laptop, MultiFunction Printer, Workstation, Flat Panel

Existing World | Future – Foundational Elements | Security | Future – New Apps – COTS & Custom

A. SC-CMS Integration Points

Based on the AOC's planned enterprise architecture, the SC-CMS will directly leverage several key integration points of the EA. The following table refers to EXHIBIT I and describes integration points the SC-CMS application will employ. It shows the design/development/implementation status of each point of integration. In addition, the table describes the likely modification required of the application acquired for the SC-CMS.

No.	Integration Point/ Description	Status	Product Change
1.	**Enterprise Security** The SC-CMS will interact with the AOC enterprise security facility to provide secure identity management, authentication, authorization, entitlements/policies, and certificate services that manage access to the SC-CMS application and other AOC services. This enables single sign-on and consistent security across AOC applications and services.	Modification	The security mechanisms of the application used for the SC-CMS will need to employ the AOC's enterprise security mechanisms.
2.	**Information Business Services** The SC-CMS will be configured or customized to expose services for producing information, consuming information, and providing analysis through the Information Business Services component of the AOC Enterprise Architecture. This component will expose these services through a common registry and invoke service rules, messaging, scheduling, events, and work flow engines. This will be a vehicle for publishing, discovering, and invoking the SC-CMS standard Web services.	New	The AOC will need to build and prove out the Information Business Services components of its EA. The SC-CMS application will need to produce and consume services. It is most likely that the leading applications will already have this capability.
3.	**Information Exchange Broker** The application will employ the Information Exchange Broker to route, transform, orchestrate, integrate, and mediate information sharing between the SC-CMS and other applications, both internal and external to the court and the AOC. This will address both synchronous and asynchronous interoperability.	Modification	The AOC will expand the use and capabilities of its existing information exchange broker to provide the services specified in the AOC EA. The SC-CMS will employ the Information Exchange Broker for all information sharing between the SC-CMS and other applications: local, statewide, and beyond state and local government; and both internal and external to the court and the AOC.
4.	**Information Networking Data Services:** Assuming that the AOC creates the Information Networking Data Services component of the EA, including the UDM, MDM, SDR, and Data registry	New	The AOC will establish the Information Networking Data Services component of the EA, including the UDM, MDM, SDR, and Data registry services. The SC-CMS application will be configured/modified to publish data

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No.	Integration Point/ Description	Status	Product Change
	services, the AOC and solution provider will establish the information exchanges between the new SC-CMS application and the SDR, following the UDM and MDM models and standards, using the Information Exchange Broker and the Information Networking Data Services. This will enable SC-CMS to supply information to the SDR as each event is recorded in the application. In addition, it will provide statewide and cross-application tables (e.g., law tables) to be kept up to date in SC-CMS using automatic updates from the SDR.		about every event recorded in the SC-CMS.
5.	**SC-CMS to SCOMIS Data Exchange:** In the event that the AOC does not create the Information Networking Data Services component of the EA as described immediately above, the AOC and solution provider will leverage the data exchanges being created between LINX and SCOMIS. This will enable SC-CMS to supply information to the JIS Database as each event is recorded in the application.	Under Development, May Require Modification	In the event the SC-CMS application is a derivative of the current LINX application, these data exchanges should be in place. In the event that SC-CMS is based on a commercially provided application, SC-CMS will be configured/modified to publish data to these NIEM-based SCOMIS data exchanges.
6.	**Business Intelligence Services** The SC-CMS will not contain statewide case data and will not hold all the data currently contained in JIS for all the years of operation by SCOMIS. The SC-CMS will employ Business Intelligence Services to provide access to statewide data and to data recorded prior to the implementation of SC-CMS.	Modification	The AOC will transform existing business intelligence resources into the new AOC EA. The SC-CMS application will be configured/modified to provide access to these services.

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B. Other AOC Integration Points

The fundamental point of the AOC service-oriented architecture is to support better, more standardized integration of AOC assets. Through the transitions of implementing the SC-CMS application to support courts statewide and the eventual retirement of current JIS applications, several current AOC services will need to be integrated. The table below identifies points of integration not directly connected to the SC-CMS application, yet critical to superior court business operation continuity.

No.	Integration Point/ Description	Status	Product Change
1.	**Exchanges between the JIS Database and the Information Networking Data Services** The JIS database is an integrated	New	Application Programming Interface (API) information exchange service will need to be developed to synchronize JIS Data with the SDR.

No.	Integration Point/ Description	Status	Product Change
	database supporting many AOC applications. Assuming that the AOC has created the SDR within the Information Networking Data Services component of the EA, event-driven information exchanges will be developed between the JIS database and the SDR.		The following applications will need information exchanges with the SDR: • Appellate Court Records and Data System (ACCORDS). • SCOMIS. • JIS PERSON. • JIS SCOMIS INTEGRATION. • JSC. • Judicial Access Browser System (JABS). • JIS ACCOUNTING.
2.	**Exchanges between SC-CMS and the JIS Database** As noted above, the JIS database is an integrated database supporting many AOC applications. In the event that the AOC does not create the SDR by the time SC-CMS is in Phase II, Configuration and Validation, event-driven information exchanges will be developed between the SC-CMS and the JIS database.	New	The AOC will develop APIs to consume the SC-CMS services that publish data about all the events that are recorded in SC-CMS.
3.	**Existing Reporting from Existing Data Bases** These components of the EA are shown in yellow on the lower left hand side of EXHIBIT I. Given that the events recorded in SC-CMS will be used to update the JIS transactional database (directly or through the SDR), existing reports will continue to be available via the existing reporting mechanisms.	Ready to Use/ Currently in Operation	As noted above, the SC-CMS application will be configured/modified to publish data about every event recorded in the SC-CMS.
4.	**Existing Data Exchanges from Existing Data Bases** These components of the EA are also shown in yellow on the lower left hand side of EXHIBIT I. As with integration point 3 above, the events recorded in SC-CMS will be used to update the JIS transactional database (directly or through the SDR). Existing data exchanges will continue to operate, publishing data to Statewide External Partners and Data Stores.	Ready to Use / Currently in Operation	As noted above, the SC-CMS application will be configured/modified to publish data about every event recorded in the SC-CMS.

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V. Interfaces

Previous sections outlined the interface requirements related to SC-CMS and the means for providing these interfaces. This section looks at interfaces from a perspective of transition from the existing processes, applications, and interfaces to new interfaces.

A. Dependencies on Existing Systems and Data Interfaces

As shown in Appendix B, the SCOMIS and JIS applications and data structures provide a number of important statewide and local interfaces. Local courts will continue to rely on these interfaces until they have migrated to the new SC-CMS application. In addition, these interfaces may continue to be employed while the AOC develops its Information Networking Hub facilities and services. Once both conditions are met (local court migration and establishment of the Information Networking Hub), these existing interfaces may be retired.

In this transition, the AOC may be called on to hold the partner harmless with regard to the design and operation of the interface. The Information Networking Hub facilities should be configured to accommodate the existing partner interfaces in the event that a partner does not have the resources to modify its applications to employ new interfaces.

B. Ready-to-Use Interfaces to Existing System and Data Interfaces

As noted above, existing interfaces will continue to operate until all courts migrate to the SC-CMS or adopt information data exchanges that the Information Networking Hub provides. There are no requirements or plans to employ other ready-to-use interfaces.

C. New Interfaces That Will Be Needed to Support Existing System and Data Interfaces

Section III described the new interfaces required to support SC-CMS. Section IV described how this would be accomplished using the AOC's EA. The EA Information Networking Data Services – Migration Services are assumed to provide court statewide interfaces. These will need to be developed, as they do not exist today. AOC ISD will extract data from the SDR, transform it into the appropriate data format and medium, and distribute the data to the appropriate external organization through prearranged data exchange channels. Data extracted from the SDR will have an expanded scope from that contained in the SC-CMS, since it contains data contributed from other systems (AOC, local court systems, and external systems).

The SC-CMS application may also need to produce some reports and data files that may be sent to external organizations. These data exchanges will be limited by the scope of the SC-CMS database. However, transactional data (i.e., Daily Protection, No Contact, Anti-Harassment, Dissolution, or domestic violence related orders) may be generated from the SC-CMS application.

AOC is planning a project to develop a data exchange migration strategy. It will identify the interfaces and determine where each interface should occur. To leverage the Information Networking Hub, most interfaces should occur within the Migration Services facility. However, local, limited-scope interfaces may originate from the SC-CMS application.

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D. Modifications That Will Be Needed to Support Existing System and Data Interfaces

All information exchanges will need to be created either in the Information Networking Data Services – Migration Services component of the EA or within the SC-CMS application. As noted above, current JIS interfaces and reports may need to be generated in the interim. If the SDR can be implemented before or concurrent with the SC-CMS application, most interfaces should be generated from the Information Networking Data Services – Migration Services component. A significant risk exists that these capabilities may not be ready for the implementation of the SC-CMS application. The AOC may need to develop a data bridge that collects the information from the current JIS application and the SC-CMS application to support these interfaces.

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VI. Work-Around Activities

This section identifies and addresses potential work-arounds that many be necessary for implementing the system. Potentially AOC may elect to acquire and use application modules that are broader in scope than the approved scope for this project. Therefore, many work-arounds may not be applicable. AOC may discover other necessary work-arounds when the limitations of the selected system are understood.

A. Transitional Information Exchanges

The vision of the SC-CMS application is that it will participate as a service within the AOC EA. AOC plans to have most integration occur within the Information Networking Hub. The SC-CMS will provide data to the SDR that resides within the Information Networking Data Services through the Information Exchange Broker. Services within the Information Networking Data Services will provide data exchanges to existing AOC applications, existing AOC databases, new JIS applications, external court systems, and external noncourt systems.

AOC has substantial work to achieve this future state. If the SC-CMS is ready to implement prior to the Information Networking Hub being ready to support statewide court operations, AOC may need to develop a work-around solution to support existing integration points and interfaces. The JIS system may need to continue to be the state system of record for all court data until AOC implements the SDR. Temporary Information exchanges may need to be built to transfer data from the SC-CMS to the JIS database.

B. Information Synchronization

Another potential work-around will be the need to manually maintain the quality and consistency of the statewide data that exists in the JIS, SDR, or SC-CMS databases. Through the transition and beyond, it is operationally critical to maintain consistency and data quality. AOC will need to develop a data synchronization and quality strategy. During the transition period, a risk exists that data may become unsynchronized. As components are built, tested, and implemented, AOC will need to pay attention to the actual content of each data repository. Maintaining an inventory of data sets and their contents will be critical for migrating data towards the new SDR.

C. Out-of-Scope Functionality

The ESC identified several functional elements as out of scope for the SC-CMS implementation. Appendix A – Scope includes the description of each scope component, including the out-of-scope items. For each out-of-scope element, a potential work-around may be required. This may include continuing to use the existing JIS application (e.g., JIS Accounting for the Manage Finance function), or using a local solution (e.g., document management or jury management) or providing manual processes (e.g., alternative programs, cashiering, receive payments). AOC and the solution providers, collaborating with local court management, will need to develop appropriate work-around strategies for these important pieces of court functionality.

Potential work-arounds may include.

Functional Component	Responsible	Comment
Document Management	AOC	AOC links to local document management systems through a common API to allow the SC-CMS application to access local images.
Juvenile Services	AOC	Local courts continue to use the Juvenile and Corrections System (JCS) and JABS with appropriate

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Functional Component	Responsible	Comment
		manual processes.
Probation Services	Local Court	Manual process or local system.
Bail/ Bond	Local Court	Manual process or local system.
Alternative Programs	Local Court	Manual process or local system.
Best Practices	Local Court	Manual process or local system.
Jury Management	Local Court	Manual process or local system.
Local Rules	Local Court	
Forms Management	AOC/ Local Court	Standard Forms Library. Local forms management.
Education	AOC/ Local Court	Continue current education processes.
Court Profile		Manual process or local system.
Reports	Local Court	Produce reports locally from local systems.
Define Financial Parameters	AOC	JIS Accounting.
Bank Account Management	AOC	JIS Accounting.
Manage Case Accounting	AOC	JIS Accounting.
Administer Financial Activities	AOC	JIS Accounting.
Reverse Payments	AOC	JIS Accounting.
Receive Payments	AOC/ Local Court	JIS Accounting, Local accounting practices including possible credit card transactions.
Collections	AOC/ Local Court	JIS Accounting, Local accounting practices including possible credit card transactions.
Cashiering	Local Court	Manual process or local system. Interface to JIS Accounting.
Disburse Payments	AOC/ Local Court	JIS Accounting, local practices.
Reports	AOC/ Local Courts	Use JIS Accounting reports, Produce reports locally from local systems.

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VII. Business and Technical Process Adaptations

The selected SC-CMS application, although configurable, will superimpose new processes, work flows, and techniques on to the courts business process. In addition, the system will have technical structures and processes that are different from AOC current structures and processes. In each case the difference will need to be assessed, and AOC and the solution provider, will need to determine whether to adapt the AOC and court practice to conform to those of the new application or to modify the application to meet the AOC and court practice. The latter will usually be more expensive and time consuming.

A. Business Adaptations

The new applications will introduce new tools and techniques for managing business processes. For example, the new systems will likely include a work flow management system that will setup active work queues that will need to be managed locally. These tools and techniques will constitute change to the court operation. Assuming Washington Courts desire to use the tools and techniques, court and clerk staff will need to learn the new processes and change their current processes to align to new processes using the new SC-CMS application.

B. Technical Adaptations

Functional business modules that AOC and local courts determine that they need to conform to current practices will likely result in technical changes to the current application modules. Much of this should be configurable. However, depending on the change, it may require customization of the software. AOC should try to minimize customization, as it will be expensive and impact its schedule.

The vendor solution will likely include tools, procedures, and techniques that AOC may wish to use and adopt. AOC may need to adapt its practices to use the solution provider's tools, processes, and techniques. Conversely, the solution provider may choose to use the AOC tools and processes. For example, AOC plans to use the Rational Suite for maintaining metadata about the application and managing the quality assurance and testing functions. The solution provider may need to adapt its methodology to use this set of tools.

The following adaptations are foreseen:

- **Use of Rational Suite** – AOC plans to use the Rational Suite set of tools for testing and quality assurance services.
- **SDR** – The systems will contain information exchanges with the SDR using the Information Networking Data Services.
- **Financial Systems** – The financial management group of functions are out of scope of this project. Adaptations will be needed to accommodate financial transactions and data.
- **Implementing Interface Data Exchanges** – The new SC-CMS will initiate interfaces through the Information Networking Data Services facilities. The SC-CMS will need to be able to initiate data transfers through this other system.
- **Use of Public Web Portal –** AOC expects the SC-CMS application to use a public Web portal and be consistent with AOC Web services capabilities.
- **Use of the JIS Data Warehouse –** AOC expects the SC-CMS application to feed information to its data warehouse and operational statistical collection systems.
- **Technology Infrastructure –** AOC expects the solution provider to configure a system that closely fits and leverages existing infrastructure and network assets. Many of the

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current systems, operational processes, and network connections will continue to be used.

- **Enterprise Security –** AOC expects that the application will use AOC and EA security procedure for implementing an application security solution.

Many adaptations will be required based upon planning, design, and development of the project initiatives that prepare the business, technology, and operational environment to support the SC-CMS application.

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VIII. Staffing Needs to Support Integration Activities

At the direction of the JISC, the AOC has made a shift in application acquisition strategy, away from custom application development to employing commercially available packages. This shift creates a shift in the demand for technical staff resources away from application development and toward application integration. This section discusses these new staff requirements.

A. AOC Staffing Needs

The establishment of the proposed environment requires substantial effort. This effort will require the following staffing strategies.

1. SC-CMS Project Staff

AOC staff assigned to the SC-CMS project will work with the solution provider to configure the application to meet business and technical requirements. This will include designing and building data exchanges that will plug the SC-CMS application into the Information Networking Data Services, which includes the SDR. Several other data and process integration activities will occur during the configuration and validation phase as the application is prepared to operate in the AOC environment.

2. AOC Project Teams

Several project dependencies have been defined that are necessary to be completed prior to or concurrent with the implementation of the SC-CMS application. Each project will require project management and technical staff to plan, design, and implement the environment that AOC envisions.

3. AOC Integration Team

Several of the AOC projects involve building the Information Networking Hub. AOC must plan, design, build or procure, test, and validate the system. AOC has existing staff that will participate in these tasks, supplemented by consultants.

Data Integration requires specific data exchanges be developed for the following areas.

- Existing JIS applications to the SDR
- Establishment of Information Business Services function and capabilities.
- Establishment of the Information Exchange Broker.
- Replacement of existing interfaces with data exchanges from the Information Networking Data Services.
- Migration of the operational reporting and statistical reporting functions into the Information Networking Data Services.
- Creating data exchanges with specific court systems that have existing data exchanges.
- Establishing enterprise security policies, processes, and tools to secure judicial applications and data.
- Establishing and maintaining data registry services.
- Migration of the data warehouse to be included in the Information Networking Data Services appliance.
- Establishment of the Business Intelligence Services.

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- Extension of public web portal to support information transport capabilities to support multiple public devices and media types and access points.

4. Program and Project Management

AOC will need to continue to develop its ability to manage change through involving the project management office. Program management structures will need to be established to support multiple projects that collaborate to achieve common program goals, business outcomes, and business benefits.

5. AOC Technology Support Staff

AOC technology staff will be involved in working with the solution environment to acquire and implement the technology infrastructure necessary to support the SC-CMS application and the Information Networking Hub. They will need to integrate new services, tools, and processes into their existing technology operations.

6. Business Integration Staff

AOC will need change agents, communication staff, business subject experts, and court liaisons to work with judges, court administrators, and court clerks and their staff to prepare for, and assimilate the change of implementing a new modern information system to support court operations. Managing stakeholder expectations, educating court staff, disseminating information, and resolving policy issues that will arise are critical elements of this transformation effort.

B. Local Court Staffing Needs

While AOC and the solution provider have the majority of work, local courts will participate in the effort. The migration strategy suggests that local courts will be involved in several planning and preparation activities, including:

- Communicating to the court community.
- Training the court and court community.
- Conducting readiness assessment.
- Redesigning court business processes.
- Redesigning court community business processes.
- Revising court and court community IT budgets.
- Planning local court configuration.
- Planning local court data configuration.
- Planning correspondence, forms, and reports.
- Planning and design data conversion.
- Redesigning application portfolio.
- Designing interoperability.
- Designing local technical infrastructure.

Local Courts will need several staffing resources to assist in the preparation and planning activities.

1. Project Management

Each court implementation will be a project and will need basic project management skills to plan, organize, control, and lead the project.

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2. Court Management

Court management will direct many preparation and implementation activities. Management staff will be involved in business process changes, integrating the system into court business operations.

3. Technical Support

Local counties will need to provide some technical staff to assist AOC technical staff integrate the new system into each county's technology environment. If a county has its own court systems (e.g., Jury Management System) that it determines to continue using and integrate with the SC-CMS system, then the county will need to provide technical staff to help integrate the system. AOC will establish standard data exchanges that counties may use to access SC-CMS and SDR data.

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C. Signatures

Title	Name	Signature	Date
ISD CIO	Vonnie Diseth		
MTG Project Officer	Joseph Wheeler		
AOC Project Manager	Kate Kruller		
MTG Project Lead	Robert Marlatt		

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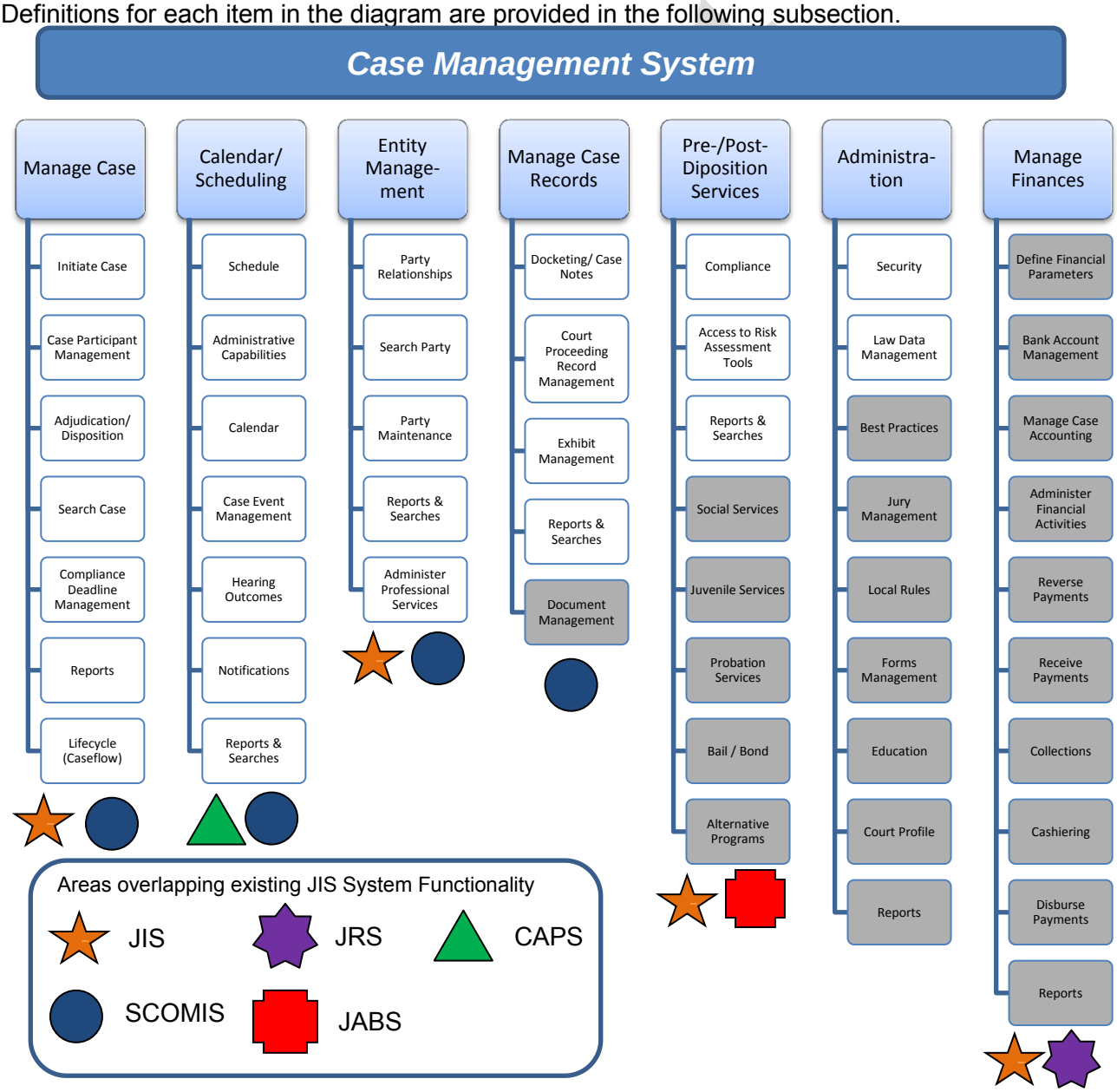
Appendix A – Functional Scope

The scope of the SCMFS project is based upon current and desired operations, as well as the functional boundaries of existing systems with which the future solution will interact.

1. Scope Diagram

The following diagram provides a depiction of the scope of business operations conducted by the Superior Courts that are supported by JIS systems and are included in the SCMFS project. Top-level boxes indicate the major functional areas associated with case management operations. The boxes beneath them indicate sub-functions; white boxes indicate that the sub-function is in the SCMFS scope, gray boxes indicate sub-functions that are out of scope.

Definitions for each item in the diagram are provided in the following subsection.



2. In-Scope Category Definitions

The functions described in this subsection are business functions that are considered in the scope of the SCMFS. Each of the functions below corresponds to a "bubble" in the SCMFS Scope Diagram shown in the previous subsection.

a. Manage Case

Capabilities listed are focused on the processes associated with Superior Court case management. These capabilities are broke down into seven sub capabilities.

- **Initiate Case –** The Initiate Case capability focuses on the activities of creating a case in the Superior Court. This capability is broad in scope and covers Superior Court: civil, juvenile, and criminal cases.
- **Case Participant Management –** The Case Participant Management capability involves assigning specific people to cases. This assigning of people actually links participants defined in Party Management to actual cases. Activities include the addition, maintenance, removal, and sealing of participants on a case seal (participant) for a case, and expunging a party/person from a case.
- **Adjudication/Disposition –** The Adjudication / Disposition capability supports the decision making process in the courts. It is made up of the processes of entering the resolution and completion outcomes of a case.
- **Search Case –** Describes the ability to search for case information, and presents the results in a useful and meaningful way. Includes at a minimum those capabilities currently supported by the SCOMIS index.
- **Compliance Deadline Management –** Capability to track and enforce due dates and obligates for court processes. An example of this is the establishment of a due date for the exchange of witness lists and ensuring if it is done.
- **Reports –** General Reporting and Searching capabilities used to support Case Management activities.
- **Life Cycle –** The sub capabilities that make up the life cycle capability support the work flow process of the court. Tracking and monitoring milestones, setting statuses, sealing cases: link/consolidate, milestones, status, seal case.
    - "Case flow management is the court supervision of the case progress of all cases filed in that court. It includes management of the time and events necessary to move a case from the point of initiation (filing, date of contest, or arrest) through disposition, regardless of the type of disposition. Case flow management is an administrative process; therefore, it does not directly impact the adjudication of substantive legal or procedural issues."
    - "Case flow management includes early court intervention, establishing meaningful events, establishing reasonable timeframes for events, establishing reasonable timeframes for disposition, and creating a judicial system that is predictable to all users of that system. In a predictable system, events occur on the first date scheduled by the court. This results in counsel being prepared, less need for adjournments, and enhanced ability to effectively allocate staff and judicial resources."[4]

[4] *Caseflow Management Guide*, Page 1, State Court Administrative Office of the Courts, Lansing, Michigan, Undated.

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b. Calendar/Scheduling

All aspects of Calendaring and Scheduling for courts are captured in this capability. This capability is broken down into six sub capabilities.

- **Schedule –** Scheduling capabilities deal with the details of scheduling court resources, and participants for a case/hearing: assigning resources and producing reports.
- **Administrative Capabilities –** Administrative capabilities related to Calendaring/Scheduling are focused on scheduling resources. This includes Judicial Officers, equipment, Court Rooms, Court Resources, Interpreters, etc. It also involves the timing of scheduling events such as divorce proceedings which are held the third Wednesday of the month. These events are typically completed as a Court Administration function: set up, manage caseload, manage resources – establish available times (Courtrooms, Judicial Officers, etc.), delete resources, calendar profile/ date – session profile.
- **Calendar –** This capability includes the creation, formatting, maintenance, and distribution of court calendars for each type of hearing and conference. Calendars, as considered within this context, may also include Alternative Dispute Resolution (ADR) events such as mediation, as well as other events that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, or evidence is considered by a Judicial Officer, magistrate, referee, commissioner, or other judicial officer in court events such as trials and hearings, lower court reviews, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events.

The scheduling of hearings and conferences (see Scheduling Function) provides the source information for court calendars. The Calendaring Function creates calendars by accepting schedule information, combining it with information from other functions (e.g., basic case information from the Docketing and Related Recordkeeping Function, Judicial Officers' notes), and arranging the information into the calendar format. As the hearing date approaches, users maintain calendars by re-generating all or part of the calendar to reflect scheduling changes, entering or updating calendar notes, making changes to the format or organization of calendars. They then generate the updated calendars for electronic or printed distribution.

The ability to create and maintain blocked calendar entries is included here. There includes the functionality to set limits on the number events to schedule in a block and to override that limit when needed. The functionality to move a single event or the entire block of events in a single action is included here also.

Calendaring is the activity of scheduling cases for hearings before the court and consists of the coordination of case actors (judges, attorneys, litigants, interpreters, etc.) and physical resources (court rooms, AV equipment, etc.) based on a set of conditions that include case type, hearing type, required actors, and required physical resources. For example, a request for a motion hearing in a domestic case before Judge A (conditions) would result in the hearing being set on the next future date that Judge A is scheduled to hear domestic case motions).

A calendaring system supports calendaring through automation of case hearing scheduling based on a set of rules (conditions). A calendaring system produces reports that details all cases scheduled for a particular date, time, and place and reports that detail all of the scheduled hearings for a particular case. A calendaring system generates notices to individuals regarding the scheduling of hearings in a particular case.

Calendaring is a sub-activity of case management. That is, you may have a calendaring system without having a case management system. A case management system presumes the existence of a calendaring system as either part of the case management system or through the exchange of data with a separate calendaring system.

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- **Case Event Management –** Case Event Management focus on those activities that support management of case events. This includes confirmation of notice/warrant service, all case/court papers have been filed timely, and that all actions have been completed before a participant steps into the courtroom. These activities help facilitate all the prehearing/pretrial events. At a minimum, these activities mirror what is done in the SCOMIS "Case Schedule Tracking"/"Case flow Management Track" functionality.
- **Hearing Outcomes –** These capabilities revolve around the documentation of events (record the outcomes) of hearings: actions taken, and follow up on actions to perform. Recorded outcomes of events include clerk minutes, capturing the outcome of the event (Continuance, Stricken, Court Order, etc.) in a searchable/selectable format, not just a note in a docket entry.
- **Notifications –** The capabilities associated with Notifications revolve around the functions of scheduling and monitoring the disbursement of notifications from court to participants: confirmation, monitor, verification, and recording whom they are sent to. The capability of parties to confirm or strike motions electronically when responding to notifications.
- **Reports and Searches –** This capability support the reporting needs of the court related to public calendaring information, scheduling notice to send out, notifications sent to participants for dates due in court or information required, and other notification functions: public, confidential, notices, see CAPS and other systems, calendar load, court dates sent to participants. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

c. Entity Management

Capability captures all business capabilities related to the tasks associated with Party Management. This includes searching, identification, adding, deleting, association with other Parties, and related processes in the court environment. A Party is any entity associated with a court case or court activity. This includes, but is not limited to, Judicial Officers, businesses, victims, litigants, attorneys, defendants, and other court staff, etc. There four sub capabilities associated with Party Management.

- **Party Relationships –** The Party Relationships capabilities covers the activities needed to tie party members together indicating some form of relationship and maintaining that relationship. This can be Parent/Child, Guardian/Participant, Attorney/Client, or other relationship: add, update, AKA maintenance.
- **Search Party –** The Search Party capability allows for the searching for Parties based on a variety of variables. The Party information may reside in any number of physical databases: phonetic, alpha, weighted. Includes at a minimum those capabilities currently supported by the SCOMIS Index.
- **Party Maintenance –** The Party Maintenance capability covers the activities related to keeping Party (Person) data current and accurate. This includes addition of new information to a Party and updating existing information as it changes: add party, end dating party, seal party, update party, and update party status. Official and Organization Person records are part of the JIS Person Database. An official/organization person record must exist in the system before that person can be granted security as a JIS user or be associated with a case as a participant. Judicial Officers are added as officials in a court when they fill a seat on the bench at a particular court, and removed when they leave a court and the time for appeal of cases has passed.
- **Reports –** Reports for Party Management fall into two categories. They are either ad hoc reports or Structured / Standard reports. Ad hoc reporting includes reports that provide one-time answers on a non-scheduled / non-recurring basis. Structured/

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Standard reports are produced on a regular basis and are produced more than once. Both of these reports only provide information related to Party information.

- **Administer Professional Services –** The Administer Professional Services capability deals with inventorying the social services that are available to case participants. This includes activities such as ensuring the social service agency complies with the rules and regulations, and the inventory of available organizations is kept current, and in some cases that the individual providers are qualified. This was moved under Entity Management since a service agency is just another Entity that is inventoried/managed by the courts.

d. Manage Case Record

The Manage Case Record capability is focused on the management of court records, including document-indexing (docketing), managing and processing exhibits, and management of court proceeding recordings. There are four sub capabilities in the Manage Record capability that are in the scope of this project.

- **Docketing/Case Notes –** Docketing is the creation and maintenance of the legal record of the index of court actions taken and documents filed in a particular case. A docketing system is the creation and maintenance of that legal index record in electronic form.

NOTE: As a general rule and practical matter, calendaring and/or case management systems are highly dependent upon the data and information in a docketing system. For example, a summary judgment motion is filed and the official record of that document is created in the docket. The motion also serves as the request for court time to be calendared. The motion also serves as the date marker relative to a case management rule regarding the sequencing and timing of the request and scheduling of the hearing for purposes of compliance monitoring and enforcement.

- **Court Proceeding** *Records Management* **–** Court proceeding record management capabilities focus on the maintenance, indexing, access, and deletions/destruction of the recordings of court proceedings.
- **Exhibit Management –** Exhibit Management capabilities focus on the receiving, storing, and destruction of court exhibits. These physical assets are to be tracked.
- **Reports and Searches –** The Report capabilities support record management functions/activities through ad hoc reporting and standard reports to support mandatory reporting requirements. Includes at a minimum those capabilities currently supported by the SCOMIS Index.

e. Pre-/Post-Disposition Services

Capabilities related to activities that take place before a case is heard and after a case is heard, including decision-making activities. The three in-scope components of this function are described below:

- **Compliance –** Capabilities that support the establishment, tracking, and monitoring of the terms of predisposition conditions of release, probation imposed (juvenile), treatment options, and sentencing.
- **Access to Risk Assessment Tools –** This capability includes the access to/integration with existing tools used to perform an assessment of an individual to support monitoring terms imposed by the court. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm.
- **Reports and Searches –** The Reporting capability falls into two categories, there are ad hoc reporting needs and structured reports to support tracking and monitoring needs of the court: tracking and monitoring, ad hoc reporting. Includes at a minimum those capabilities currently supported by the SCOMIS Index and the JABS. This includes

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access to all relevant information/records, access to participant historical information, the ability to issue and manage decision records, access to participant history, and Washington State Patrol and Department of Licensing data.

3. Out-of-Scope Category Definitions

This subsection includes descriptions of the functions that are out of scope. Out of scope functions are not listed in the requirements but they are included here for reference purposes, to help to ensure clarity on what is included in each function and what is not. Each of the functions described in this subsection corresponds to a "bubble" from the chart shown in Section II.A.1.

a. Manage Case Record

The Manage Case Record capability is focused on the management of court records, including document indexing (docketing), managing and processing exhibits, and management of court proceeding recordings. The majority of Manage Case Record sub-functions are in scope, but document management, which is described below, is considered out of the scope of this project.

- **Document Management –** Document Management capabilities support all functions related to the processing of physical documents (paper or electronic) in the court environment. There are eight sub capabilities that support this capability: receive, imaging, eFiling, disburse, search, store, archive, delete/destroy.

b. Pre-/Post-Disposition Services

Capabilities related to activities that take place before a case is heard and after a case is heard, including decision-making activities. The out-of-scope components of this function are described below.

- **Social Services –** This capability supports the ability to interact with various social service agencies and private providers to monitor those individuals placed in foster care, rehabilitation services, or other programs.
- **Juvenile Services** – These include:
    - *Juvenile Detention* – The Juvenile Detention capabilities support activities and actions around the juvenile detention services. This includes the capabilities of Admission, Release, Tracking, and Facility Management: admissions, release, tracking, facility management.
    - *Admit Juvenile to Detention* – This capability includes the activities needed to support admitting a youth into a detention facility.
    - *Monitor Juvenile in Detention* – This capability includes the activities needed to support monitoring a youth in a detention facility.
    - *Release Juvenile from Detention* – This capability includes the activities needed to support releasing a youth from a detention facility.
- **Probation Services –** This capability supports monitoring a person convicted of a crime to remain at liberty, subject to certain conditions and under the supervision of a probation officer.
- **Bail/Bond –** This capability includes the activities associated with bail management (e.g. collecting bail money, bail bonds, and producing receipts and reports).
- **Alternative Programs –** This capability includes activities for tracking juveniles enrolled in alternatives program (i.e., electronic home monitoring, work crew, group care) in lieu of detention.

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c. Administration

Capabilities conducted for managing and supporting a Court for carrying out its business mission. There are eight sub capabilities that fall under Administration.

- **Security (Non-Functional) –** The Security capability focuses on the computer application and data security functions for the court. This includes creation of Logon Ids, assigning access rights to applications, maintenance of security privileges, removal of security privileges as needed, and monitoring access activities with the use of security reports. Data and applications are secured from unauthorized access and access is granted as needed to authorized individuals.

  Security of cases, calendars, case notes, and other information is a major risk to the integrity of the court functions. The need to securely and effectively restrict access to sealed cases falls under the security umbrella. The ability for a system user to have access to processes they need to perform their job functions, and only those processes, is a critical aspect of security in any business environment, but even more so in the court environment due to the amount of confidential data maintained in the court systems.

- **Law Data Management (Non-Functional) –** The Law Data Management capability covers activities associated with adding, updating, and deleting ~~the~~ laws that the court enforces (local and statewide). Provide review and interpretation of newly enacted statutes on penalty assessments for proper categorization in the law table. Coordination of law data between JIS and the Washington State Patrol, WAPA charging manual, and Fish and Wildlife bail schedules. Determine class of offense for each law, Law Data, and begin and end effective dates.

All non-civil cases require a reference to a law in a charging document, or referral notice.

- **Best Practices** – The capabilities associated with Best Practices deal with the creation, maintenance, and education of court staff on the best practices developed in the administration of court processes and functions: create, maintain, education.
- **Jury Management** – Jury Management capability involves all activities related to Jury Pool setup, selection, notification, jury service postponement, tracking, and payment: create, maintain, selection, notification.
- **Local Rules** – The capabilities associated with Local Rules deal with the creation and maintenance of those rules that each individual jurisdiction/court makes in how to do business in their business area: create, maintain.
- **Forms Management** – This capability revolves around the creation and maintenance of forms used by the courts from a global perspective. Those forms that are unique to a given court are not included in the scope of work covered by this capability.
- **Education** – This capability involves the function of providing educational services to the different courts by AOC related to new Judicial Officer training, new global court processes and procedures, and system usage.
- **Court Profile** – The court profile contains information that is specific to a particular court. This information may include court location, hours of operation, form letters, and any other court specific information that may be required when performing court business processes.
- **Reports** – The Administrative Reports activity focus on the general reporting needs of the organization.

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d. Manage Finances

Capabilities related to financial processes at a Court. There are six sub capabilities that fall under the Manage Finances area.

- **Define Financial Parameters –** This capability supports the Court processes and functions that support the accounting and financial operations of a court.
- **Bank Account Management –** This capability addresses the activities associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts) and performing ancillary tasks such as accruing interest, reconciling accounts, and producing journals and reports. These tasks address accruing interest on bank accounts but not within the court accounting system on the case, party, or other funds in bank accounts. Similarly, these tasks do not address interest on delinquent payments.
- **Manage Case Accounting** – The Manage Case Accounting Actions focus on the management functions for financial operations. This includes Maintaining the Chart of Accounts, Maintaining bank relationships, and Reporting activities: setup accounts receivables / payables, setup payment agreements.
- **Administer Financial Activities** – The Administer Financial Activities focus on those activities that deal with financial activities other than receiving and distributing funds for a Court. This includes End of Period Activities, Bank Reconciliations, Audits, and processing Unclaimed Property.
- **Reverse Payments** – This capability should include but not be limited to identifying and processing dishonored payments (e.g., NSF checks, credit card payments, counterfeit currency, or payments done in error).
- **Receive Payments** – The Receive Payments capability focuses on the activities at a court related to the receipt of payments for any activity/reason. The Receive Payments capability consists of three sub capabilities. These sub capabilities are based on the type of payment that can be received. They are Trust Payments, Court Payments, and Bail Payments.
- **Collections** – The Collections capability focuses on the activities related to account receivable collections. This includes sending notifications to owing party, assigning A/R to a collection agency, tracking payment history, etc., setup, collections management.
- **Cashiering** – This capability includes activities around funds collected from parties and their representatives who submit payments required by the court. Receipting (cashiering) functions can be performed at the cashiering station of the front counter in the clerk's office if payments are made in person rather than electronically or by mail.
- **Disburse Payments** – The Disburse Payments capabilities focuses on the activities at a court related to the distribution of assets (primarily money) to owed parties. The Disburse Payments capabilities consist of three sub capabilities. These sub capabilities are Recipients of Trust Payments, Remittances to Government Entities, and Returns to Payee / Applied to Case.
- **Reports** – This capability deals with all financial data reports not specifically identified in the other sub capability areas.

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Appendix B – JIS Data Exchanges

CURRENT JIS DATA EXCHANGES

	Exchange	Upload/Download	Description	Schedule	In Scope	State/ Local	Development	Other (misc.)
1.	Seattle Muni. Ct. Caseload Data.	Our automated process accesses their server and **uploads** their file to our OAC statewide **caseload database**.	Standard aggregate caseload counts: filings, proceedings, dispositions, receipts, broken down by type (as described in stats manual).	Monthly.	N	L		The process is manual at Seattle's end, and they sometimes forget, requiring nudging when our automated process fails.
2.	Attorney Address Information. PRDDG710.	**Upload** from Washington State Bar Association (WSBA).		Weekly (Fridays, 11:00 p.m.).	X	S		
3.	PRDSFICW.	**SCOMIS download** to OAC Web for Fiche subscribers.	Case Index (names & case #s) for public-access case types.	Semi-annual (January and July).	X	S		
4.	PRDSINX1.	**SCOMIS download** to DIS Web for Fiche subscribers.	Case Index (same info as above).	Weekly (Thursday nights).	X	S		
5.	PRDS019O. PRDS019S.	**SCOMIS download** to Spokane Superior.	2 Calendar files, scheduled and ad-hoc.	Work days.	X	L		
6.	PRDS032.	**SCOMIS download** to Thurston Superior.	Criminal Filings calendar file.	Weekly (Thursday nights).	X	L		
7.	PRDS041S.	**SCOMIS download** to Washington State Patrol (WSP) (into WASIS).	Criminal/Offender Disposition Transfer Report.	Work days.	X	S		
8.	PRDS042S.	**SCOMIS download** to Pierce Superior LINX system.	Civil Case information and changes.	Work days.	X	L		

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	Exchange	Upload/Download	Description	Schedule	In Scope	State/ Local	Development	Other (misc.)
9.	PRDS044S.	**SCOMIS download** to WSP (into WASIS).	Appellate Mandate Report.	Bi-weekly.	X	S		
10.	PRDS025.	**SCOMIS download** to Grays Harbor Superior (Trak-IT/CRIMS).	New & changed case information.	Work days.	X	L		
11.	PRDS027.	**SCOMIS download** to King Superior (Trak-IT/CRIMS).	New & changed case information.	Work days.	X	L		
12.	PRDS028.	**SCOMIS download** to Snohomish Superior (Trak-IT/CRIMS).	New & changed case information	Work days.	X	L		
13.	PRDS031.	**SCOMIS download** to Kitsap Superior (Trak-IT/CRIMS).	New & changed case information	Work days.	X	L		
14.	PRDS034.	**SCOMIS download** to Thurston Superior (Trak-IT/CRIMS).	New & changed case information	Work days.	X	L		
15.	PRDS057.	**SCOMIS download** to Whatcom Superior (Trak-IT/CRIMS).	New & changed case information	Work days.	X	L		
16.	PRDS401.	Spokane case-management download (SCOMIS) (under development).			X	L		
17.	PRDS402.	WSBA Attorney Cases Report.		On demand.	X	S		Report sent via e-mail.
18.	Monthly JIS-Link subscriber usage info to 3rd-party vendors.			Monthly.	X	S		Currently involves mailing diskettes, but could be FTP'd. One month last year was FTP'd to Datawest because it would not fit on one diskette. They did not show much interest in switching over to FTP on a permanent

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	Exchange	Upload/Download	Description	Schedule	In Scope	State/ Local	Development	Other (misc.)
								basis.
19.	JSIR10. OAC sends ASCII files of new SCOMIS case numbers to vendors hired by the county clerks.		The vendors use the files to produce BAR code labels corresponding to the case numbers. These labels are placed on case file folders and scanned for folder check out and check in by their local file folder inventory systems.	On demand.	X	S		This has been done via diskette and floppy mailer for the most part, but could be done as e-mail attachments, etc.
20.	JUVIS data via tape from King Juvenile.	Upload			X	L		
21.	Drug Court Project.	Upload	Plan to build link (upload or view) from SCOMIS to either CADI (the individual treatment databases) or, preferably, DASA (the DSHS database to which the individual CADI data gets uploaded).		X	L	X	In development.
22.	Several standard and custom data-dissemination dumps (to WSIPP, SGC, etc.). Need to get	Download			X	S	D	

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	Exchange	Upload/Download	Description	Schedule	In Scope	State/ Local	Development	Other (misc.)
	more detail from Info Delivery.							
23.	Seattle Muni Court import – production job PRDDJ710 – purpose: to support JIS role as source of statewide misdemeanant history.	Import from SMC to JIS.	Imports case and person data for current adjudicated criminal cases. Imports current DV cases and orders.	Nightly.	X	L		One-time upload of historical DV data is pending.
24.	Electronic transfer of FTA's to DOL – production job. PRDDF700.	Export from JIS to DOL driver's license system.	Exports data that appears on the paper FTA form to order and adjudicate FTA's.	Nightly.	N	S		The data includes a special code that helps to uniquely identify a JIS case. This works around the inability of the DOL system to uniquely identify a case and court.
25.	FTP transfer of JIS caseload report – production jobs. PRDDG70A. PRDDG70F. PRDDG70S. PRDDG70T. PRDDG70X. PRDDG70Y. PRDDG70Z.	Export of JIS caseload report to various individual courts.			X	L		Set up by Research and Information Services.
26.	DOC billing – production job PRDDG725.	Export JIS accounting data to DOC obligor tracking system.	Cumulative amounts due and paid.	Twice monthly	X	S	D	LFO Project In Progress: will impact process.
27.	DOC ID	Import DOC person	Person data.	Each	X	S	D	LFO Project In

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	Exchange	Upload/Download	Description	Schedule	In Scope	State/ Local	Development	Other (misc.)
	number update – production job. PRDDG730.	information to JIS		month on the 2nd Monday and the 21st.				Progress: will impact process.
28.	LECS data exchange – production job. PRDDL708.	Law enforcement agencies (solely Pierce County currently?) upload to JIS via the "LECS server."	Officer schedule data.	Unknown.	X	L	D	Note: This this job is currently not being run pending conversion of LECS to a Web application.
29.	CRS (Court Resource) data exchange – production job. PRDDL711	Courts (solely Pierce District?) upload data to JIS via the "LECS server."	Schedule data.	Unknown.	X	L		Refer to Randy.
30.	JIS accounting microfiche data transmission – production job. PRDDMFC3.	JIS export to DIS that produces the JIS accounting microfiche; AOC gets fiche and mails to individual courts.	JIS ledger report data.	Monthly.	X	S		
31.	JIS data extract for BIPIN – production job. PRDDN702.	Export from JIS to BIPIN, where law enforcement agencies who are members of BIPIN can access it.	JIS case data.	Friday nights.	X	S		Selection is based on a specific set of docket entries.
32.	JIS data extract for fish and wildlife – production job. PRDDN703.	FTP export from JIS to Fish and Wildlife agency identified only by a TCP/IP address in the job.	JIS case data.	Not active at this time.	N	S	D	
33.	Criminal disposition transfer report to WSP – production	FTP export from JIS to WSP WASIS system.	JIS case data.	Workdays.	X	S		

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	Exchange	Upload/Download	Description	Schedule	In Scope	State/ Local	Development	Other (misc.)
	job. PRDDN72S.							
34.	Collection Agent Report – production job XyyyS710 where yyy is replaced by the court's ID code.	FTP export from JIS to a collection agency (one which receives collections reports from their contracting court).	Exports JIS A/R and personal identification data.	Unknown.	X	L		
35.	SCOMIS case-management download for Spokane.	Download.	From SCOMIS to (1) PC system for IC case-mgt.	Daily.	X	L		

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Appendix C – Functional Requirements Information Exchanges

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
1.1	Probable Cause Hearing/Bail/Release Hearing	Upon the arrest of a suspect, a Probable Cause Hearing is held to determine if there is a reasonable ground for belief in the existence of facts warranting particular proceedings. If probable cause is determined, a Bail/Release Hearing is held to determine if the suspect should be released and if so, what the bail for the individual should be.	Judicial Officer	Prosecuting Attorney	Probable Cause	X	
1.10	Pretrial Conference	When a defendant enters a plea of not guilty, a pretrial conference is set. The hearing provides an opportunity for plea negotiations, resolution of all discovery issues, and trial setting. If the case is set for trial, an order is entered setting forth the following, if applicable (The Court Administrator schedules these activities): (i) discovery schedule; (ii) date and nature of pretrial motions; (iii) date of readiness hearing; (iv) date of trial; and (v) time for filing witness lists.	Judicial Officer/Court Administrator	Prosecuting Attorney	Probable Cause; Arrest	X	
1.1	Probable Cause Hearing	Upon the arrest of a suspect, a Probable Cause Hearing is held to determine if there is a reasonable ground for belief in the existence of facts warranting particular proceedings.	Judicial Officer	Prosecuting Attorney	Probable Cause	X	
1.11	Trial	The presentation of evidence in court to a Trier of fact who applies the applicable law to those facts and decides the case. The examination before a competent tribunal, according to the law put in issue in a cause, for the purpose of determining such issue.	Judicial Officer	Case Participants	Evidence	X	
1.12	Judgment/Adjudication	The arbitrator decides the case based on information provided by the participants.	Arbitrator	Case Participants	Case Decision	X	

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
1.13	Treatment Court	At any point before the trial begins, the defendant may apply for the Treatment Court option. In this process a defendant pleads guilty to the charges and is offered a treatment path/program to complete instead of going to trial. If the treatment path/program is successfully completed, the case is closed. If it is not successfully completed the defendant is sentenced based on the guilty plea to the charges.	Judicial Officer	Drug Treatment Program	Treatment Court Option Application; Treatment Results Notification	X	
1.14	Record Treatment Plan	The Court Clerk records the developed treatment plan and conditions from the plan. Regularly scheduled checks are set up between the court, defendant, and treatment provider to evaluate progress in meeting the treatment plan goals/objectives.	Court Clerk	Treatment Provider	Treatment Plan; Treatment Status Check	X	
1.15	Treatment Partner and Defendant	The defendant works with the identified treatment provider to meet the goals and objectives of the treatment plan to successfully complete the program. There are regular check-ins with the court to track progress and compliance.	Defendant and Treatment Partner	Treatment Partner	Compliance Progress	X	
1.16	Change Plea to Guilty	At anytime during the course of the case lifecycle between the preliminary hearing and trial, the defendant may change their plea to guilty and jump the queue to the Judgment and sentencing phase of the case lifecycle.	Judicial Officer	Defendant	Plea	X	
1.17	Record Judgment on Case	Upon completion of the case, the judgment is recorded. Based on the judgment, there are three paths that can be followed. The defendant is either found not guilty, guilty, or not guilty for reason of insanity. Each takes a different path after Judgment/Adjudication (step 1.12)	Court Clerk	Case Participants	Judgment	X	X
1.18	Close Case	A case is closed upon successful completion of the treatment court conditions, a defendant is found not guilty, or if found guilty all conditions of the sentence have been successfully completed.	Court Clerk	Case Participants	Declaration of Completion	X	

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
1.19	Schedule Yearly Review	If a defendant is found not guilty for reason of insanity, yearly reviews for that defendant are scheduled to determine the mental capacity of the defendant.	Court Clerk/Court Administrator	Mental Health Agency	Yearly Reviews	X	
1.20	Modification Hearing	The yearly reviews, Modification Hearings, are conducted by a Judicial Officer to assess the information about the defendant's mental capacity and determine the sentencing conditions.	Judicial Officer	Case Participants	Findings	X	
1.2	Non –Charge Case Creation	A "shell" of a case is created to track information about a person in custody, prior to the filing of charges. The shell case uses an official case number from the system. The case type is based on {} and the cause code is {}.	Court Clerk	Law Enforcement	Arrest		X
1.26	Modification Requests	The defendant has the ability to file modification request in the court. This is a request to modify the issued sentence.	Defendant	Defendant	Modification Request	X	
1.27	Post Adjudication Matters/Proceedings	The Post Adjudication Process includes requests to modify, or change a ruling or judgment.	Judicial Officer	Case Participants	Judgment Change Request	X	
1.29	Deferral or Continued Prosecution Monitoring	There are instances where a defendant is released and monitored. If the defendant stays on the straight and narrow, the case will be closed and no further action taken. If the defendant runs afoul of the law, the original charges will be re issued against them along with any new ones.	Prosecutor	Prosecutor	Deferral	X	
1.3	Case Initiation Documents	The Prosecuting Attorney creates/completes the documents (charging documents) that are used to initiate a Criminal Case. These Charging document identify the party(is) involved and the laws that were alleged to be violated.	Case Participant (Prosecuting Attorney)	Prosecuting Attorney	Charging Documents	X	
1.31	File Pleading	When documents are presented to the court clerk for creation of a case or adding to a case, there is review process that occurs to ensure the documents can be accepted and a case opened or added to an existing case.	Court Clerk	Case Participants	Case Documents	X	

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
1.32	Document Control	Once a document is received and accepted it must be processed, assigned to the appropriate case, and associated with that case file. This can be any combination of processes. Either pure paper, pure electronic, or a combination of both. A filing date is recorded on each document filed.	Court Clerk	Case Participants	Case Documents	X	
1.34	Request Case Number	The local court will request from AOC the case numbers that can be used by that local court for cases. Each case type will have its own set of numbers.	Court Clerk	AOC	Assigned Case Number		X
1.37	Order for Warrant or Summons	The prosecuting attorney creates an order for summons or warrant in a criminal case for a judge to sign. This will then be served to the identified party.	Prosecuting Attorney	Prosecuting Attorney	Summons or Warrant	X	
1.38	Sign Order	The judicial officer reviews the warrant/summons request and signs if appropriate and returns to the requesting party.	Judicial Officer	Case Participants	Summons or Warrant	X	
1.4	Initiate Case - Civil	The capturing of information related to civil activity. This information consists of what civil cause is initiated, and when and where the action occurred. This step also implements business rules related to when the first actions by the court needs to be taken and the creation of a case file.	Court Clerk	Case Participants	Charge Documents	X	
1.4	Open Case/Initiate Case	The capturing of information related to the lower court case. This step implements business rules related to when the first actions by the court needs to be taken and the creation of a case file.	Court Clerk	District Court	Charge Documents	X	X
1.4	Assign Case numbers(s)	The clerk's office provides the PA office the requested case number (s) and notes its assignment.	Court Clerk	Prosecuting Attorney	Case Number		X

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
1.4	Initiate Case - Criminal	The capturing of information related to a criminal activity. This information consists of what crime was alleged (charge), who the alleged perpetrator(s) is (are), when and where the action occurred. This step also implements business rules related to when the first actions by the court needs to be taken, the creation of person records, and the creation of a case file. A Criminal Case can be initiated by the Prosecuting Attorney by filing the appropriate documentation and the Court Clerk creating a case, or if can be initiated by the Court Clerk as a result of Probable Cause Hearing / Bail-Release Hearing action.	Court Clerk	Prosecuting Attorney	Charge Documents	X	
1.41	File Case (with Pre-Assigned Case Number)	Once the PA has the case number the case is filed with the court.	Prosecuting Attorney	Prosecuting Attorney	Case Filing	X	X
1.43	File Case	The PA Office completes all the required paper work and file a case without a pre-assigned case number. This often happened when initiating a Probable Cause hearing or first appearance after an arrest.	Prosecuting Attorney	Prosecuting Attorney	Case Filing	X	X
1.46	Identify and Add Participants	A critical part of initiating a case is the proper identification of parties and adding them to the case. This process involves specific business rules and access to several sources of information to ensure proper and correct identification of parties associated with a case.	Court Clerk	Case Participants	Participant	X	
1.48	Prepare Summons	During the course of trial, the prosecuting attorney or defense attorney may produce summons for case participants to appear in court. The summons is recorded with the court for the case associated with the summons.	Prosecuting Attorney	Prosecuting Attorney	Summons	X	
1.50	Issue Summons / Warrant / Orders	The Court or case participants may issue summons to parties to appear in court. The judge may also issue Warrants and Orders. The Clerk's Office will record what was issued and served in the case file.	Court Clerk	Case Participant	Summons or Warrant	X	

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
1.52	Create and Send Information	Based on the outcome of a case, third parties require information about the participants and the outcome of the case. Examples of interested third parties include the Secretary of State, Department of Corrections, and Washington State Patrol.	Court Clerk	Third Parties	Case Outcomes	X	
1.53	Exhibit Management	The court clerk is responsible for managing and tracking all exhibits submitted into evidence for a case. This includes acceptance and assigning to a case, tracking storage locations, monitoring location while the case is proceeding (assigned to jury room if jury request to review the exhibit).	Court Clerk	Case Participants	Exhibits	X	
1.6	Preliminary Hearing (Motions)	Hearing conducted to determine preliminary matters for a civil trial.	Judicial Officer	Case Participants	Motions	X	
1.7	Issue Warrant/Summons	In the course of the case lifecycle there are times when a Judge will issue a warrant or summons. When that occurs, the Court Clerk creates the warrant or summons.	Court Clerk	Law Enforcement	Summons or Warrant	X	X
2.1	Arbitration?	The submission of a disputed matter to a disinterested private party, whose decision is accepted in lieu of a decision by the court.	County Clerk or Court Administrator?	Case Participants	Arbitration Decision	X	
2.2	Complete Case	Upon case completion, the Court Clerk records information.	Court Clerk	Case Participants	Notice of Completion	X	
2.4	Link Cases	The Court Clerk will link cases that have common parties and/or interest if it will assist the parties in the case find justice. It is in the best interest for all parties that if domestic relations case participants have domestic violence issues pending, these cases should be linked to help provide additional information to the Judicial Officer.	Court Clerk	Case Participants	Cases		X
2.5	Accounting Actions	While initially out of scope for this project, this is where financial actions during case initiation occur.	Court Clerk	JIS Accounting	Financial Transactions		X
3.12	Return to Active status, Civil Case as a Trial De Novo	Upon a party filing a written request for a trial de novo the arbitration award is sealed and the case is pending in the Superior Court as though no arbitration proceeding has occurred.	Court Clerk	Case Participants	Written Request for a Trial de Novo	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
3.13	Record Case Results	The act and processes of recording the outcome of the trial and notification of all impacted parties/participants.	Court Clerk	Case Participants	Case Outcomes	X	
3.4	Notify Arbitrator and Participants	Once the parties have agreed on an arbitrator all participants involved in the case are notified.	Court Administrator	Case Participants	Arbitration Notification	X	
3.9	File Dispositive Documents	The arbitrator files the award with the clerk, with proof of service of a copy on each party.	Court Clerk	Arbitrator	Proof of Services	X	
4.1	Modification	A party requests a modification of the terms of a court order or decree of dissolution, including support, custody, and visitation.	Court Clerk	Case Participants	Modification Request	X	
4.3	Settlement Conference	The Settlement Conference allows the parties to come to agreement before the case goes to trial. The initiating party provides documentary information necessary to inform the court and the opposing party of the submitting party's issues. If the case fails to settle at the settlement conference, the parties will immediately appear before the Court Administrator to select a trial date. If the settlement conference results in a partial or full settlement of the case, a record of the settlement shall be made, either by a written CR 2A settlement agreement, signed by both parties and their attorneys, or, if available, on the record in open court.	Judicial Officer	Case Participants	Case Resolution	X	
4.5	Grant Petition(s)	The Judicial Officer issues/grants a petition (e.g. domestic relations).	Judicial Officer	Case Participants	Domestic Relations Petition	X	
4.6	Judgment to DSHS and Other Organizations	Upon completion of a Domestic Relation Case some records and documents are too sent to interested third parties. This includes DSHS and other organizations.	Court Clerk	DSHS; Third Party	Domestic Relations Case Resolution	X	
5.1	Record in Will Repository	When a will is submitted it is issued a case number for the current year will remain open until death of the will party.	Court Clerk	Case Participants	Will	X	
5.2	Issue Order of Solvency	Based on status and facts of a probate case an order of solvency maybe issued in behalf of the deceased.	Judicial Officer	Case Participants	Order of Solvency	X	
5.3	Issue Notices	The judicial officer will issue notices to be published to case participants and others.	Judicial Officer	Case Participants	Notices	X	

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
5.4	Personal Representative Appointed	Based on the actions of the case judicial officer may determine a case participant is entitled to a personal representative and the court clerk will see that this occurs.	Court Clerk	Case Participants	Personal Representation Request	X	
5.5	Schedule Document Due Dates (with ticklers)	During the course of a probate case documents and reports of actions/activities may be ordered to be produced by specified dates. The receipt dates need to scheduled/calendared and tickler reminders created in the system. The reminders/ticklers need to be provided to court staff and the Personal Representative responsible for producing the deliverables.	Court Clerk/Court Administrator	Case Participants	Schedule	X	
6.1	Guardian and or GAL Appointed	The superior court of each county shall have power to appoint guardians for the persons and/or estates of incapacitated persons, and guardians for the estates of nonresidents of the state who have property in the county needing care and attention. RCW 11.88.010 "Authority to appoint guardians".	Judicial Officer	Case Participants	Guardian Appointment	X	
6.10	Ordered Reviews	The court will schedule reviews (yearly) of circumstances of a defendant on a regular basis for several years out.	Court Clerk	Guardian	Annual Review	X	
6.11	Monitor Compliance	Monitor compliance of due dates for required documents. System generated ticklers and notifications to ensure that required actions are taken by case participants.	Court Administrator/ Court Clerk	Case Participants	Compliance Notification	X	
6.3	Notice to Individual and/or Guardian ad Litem	See RCW 11.88.030 (4) (a) and (b)	Court Clerk	Attorney	Hearing Notice	X	
6.5	Trial Type Selection and Scheduled	The defendant party has the option to select the type of court proceeding that will decide their fate. They may opt for either a Jury Trial, arbitration/mediation activity, or a judicial hearing.	Participant the guardianship question revolves around.	Attorney	Trial Type Selection and Scheduled	X	
6.7	Letters of Guardianship Issued	Guardianship letters issued.	Judicial Officer/Court Administrator (?)	Case Participants; Attorneys; Petitioners	Letters of Guardianship	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
6.9	Approve Petition to Close Case and Issue Order	Action taken by the Court upon a filing of a declaration of completion of guardianship.	Court Clerk	Case Participants; Attorneys; Petitioners	Declaration of Completion	X	
7.1	Hearing Scheduled	For a petition of Termination	Court Administrator	Case Participants	Hearing Schedule	X	X
7.4	Relinquishment Decision	The Judicial Officer will hear a case and issue a decision on the relinquishment of the individual.	Judicial Officer	Third Parties	Order of Relinquishment	X	
7.6	Issue Decree of Adoption Order	Judicial Officer issues an order for adoption and any orders that go with it.	Judicial Official	Case Participants	Order For Adoption	X	
7.7	Seal Case	Formally seal the case. The case is confidential once it is initiated and security and control procedures are followed.	Court Clerk	Case Participants	Decree of Adoption	X	
7.8	Pass Data to Agencies	Information related to the adoption is sent to the Department of Heath statistical section and DSHS child welfare office.	Court Clerk	Department of Health; DSHS Child Services	Decree of Adoption	X	
8.2	Update Case	Add or change case information based on new activity such as the filing of a petition for 90-day or 180-day treatment.	Court Clerk	Case Participants	Petitions	X	
8.3	Treatment Action	Judicial Officer signs off on a treatment plan for the defendant.	Judicial Officer	Treatment Provider	Treatment Plan	X	
8.4	Less Restrictive Alternative Hearing	The Judicial Official will review the condition/situation and determine if the defined treatment plan can be delivered in a less restrictive method then is currently being followed.	Judicial Official	Case Participants	Defined Treatment Plan; Petition	X	
9.1	Process Petition and Initiate Referral	In some court the local Juvenile Department will initiate a case with the issues of a referral. The Dependency Petition will initially be filed here and sent to the Superior Court Clerk.	Juvenile Department	Case Participants	Dependent Child Petition	X	
9.10	Terminate Case	When a case is dismissed the case is terminated by the court clerk.	Court Clerk	Case Participants	Order to Return Child to Parent	X	
9.12	Disposition Hearing (where child will live)	A hearing held following the entry of the findings of fact for the purpose of determining suitable placement of the child.	Judicial Officer	Case Participants	Custody Decision	X	
9.18	Contested Termination Hearing	A hearing held where the parent, guardian or legal custodian of a child is opposed to termination of their parental rights.	Judicial Officer	Case Participants	Decision	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
9.2	Process Petition/Initiate Referral and/or Case	The capturing of information related to a Juvenile Dependency Case. This information consists of allegations of a dependent child; if he or she has been abandoned, abused, or neglected, or has no parents willing and capable of exercising control over the child, or is developmentally disabled. This step also implements business rules related to when the first actions by the court needs to be taken, the creation of person records, and the creation of a case file.	Court Clerk	Case Participants	Statement of Allegations	X	
9.21	Dismiss Petition	Action taken upon a decision by the Court to dismiss a dependency petition of dependency or a petition of termination	Judicial Officer	Case Participants	Petition Dismissal	X	
9.3	Assign Guardian to Child	If a guardian in required, one is appointed by the court.	Judicial Officer/Court Administrator	Case Participants	Guardian Assignment	X	
9.4	Sign Pick Up Order	Upon the filing of the petition, the clerk of the court shall issue a summons, one directed to the child, if the child is twelve or more years of age, and another to the parents, guardian, or custodian, and such other persons as appear to the court to be proper or necessary parties to the proceedings, requiring them to appear personally before the court at the time fixed to hear the petition.	Court Clerk	Case Participants	Summons	X	
9.6	Shelter Care Hearing	The court shall schedule a fact-finding hearing to be held within 45 days of the filing of the petition alleging dependency, giving preference to those cases where the juvenile is held in shelter care. The court may, for good cause shown, continue the hearing to a later time at the request of a party.	Judicial Officer	Case Participants	Pickup Order; Summons	X	
9.7	Fact Finding Hearing	The process where the Judicial Officer gathers facts on the case as presented by the participating parties.	Judicial Officer	Case Participants	Facts	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
10.1	Open Referral	The capturing of information related to a juvenile offender activity. This information consists of information related to the incident in question, who the alleged perpetrator(s) is (are), when and where the action occurred. This step also implements business rules related to when the first actions by the court needs are taken, the creation of person records, and the creation of a referral.	Court Clerk	Juvenile Department; Probation Officer; Prosecuting Attorney	Juvenile Referral	X	
10.15	Juvenile Detention	A term of confinement in a local detention facility or a facility of the Juvenile Rehabilitation Administration.	Court Administrator/Judicial Officer	Juvenile Rehabilitation Administration	Term of Confinement	X	
10.17	Success	A decision about whether an offender has successfully met the sentence conditions imposed.	Judicial Officer	Juvenile	Completed Sentence Conditions	X	
10.18	Successfully Complete Sentence	The Juvenile completes assigned sentence.	Juvenile Offender	Case Participants	Sentence Completion	X	
10.19	Deliver Warrant/Summons	The Court Clerk will distribute all issues Warrants and Summons per court process procedures for the local court.	Court Clerk	Law Enforcement; Juvenile Offender	Warrants and Summons	X	
10.3	Diversion Assignment	A diversion agreement is a contract between a juvenile accused of an offense and a diversion unit whereby the juvenile agrees to fulfill certain conditions in lieu of prosecution. Such agreements may be entered into only after the prosecutor, or probation counselor has determined that probable cause exists to believe that a crime has been committed and that the juvenile committed it. Such agreements shall be entered into as expeditiously as possible.	Prosecutor/Probation Counselor	Diversion Unit	Diversion Agreement	X	
10.4	Perform Diversion Tasks	The Juvenile performs the prescribed diversion activities.	Juvenile Offender	Diversion Unit	Diversion Agreement	X	
10.5	Close Referral	If successfully completed, the incident is closed.	County Clerk	Case Participants	Referral Closure	X	
10.7	Restitution Established Fine	Restitution established as part of a diversion agreement.	Court Clerk	Juvenile Department; Probation Officer; Prosecuting Attorney	Restitution Fine	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
10.8	Determine Auto Decline	Determination that a juvenile offender is alleged to have committed an offense which by law automatically transfers the case from juvenile court to superior court jurisdiction.	Prosecuting Attorney/LEA	Juvenile Department	Order to Transfer Case to Superior Court	X	
11.11	Monitor Child and Report to Court	Truancy Board monitors child and reports to the court	Truancy Board	School	Child Reports	X	
11.12	Record and Monitor	Court Clerk or Juvenile Department monitors child and reports. If the court assumes jurisdiction, the school district shall regularly report to the court any additional unexcused absences by the child. If the child fails to comply with the court order, the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as community service. If a child continues to be truant after entering into a court-approved order with the truancy board under RCW 28A.225.035, the juvenile court shall find the child in contempt, and the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as meaningful community service.	Court Clerk	School	School Attendance Report	X	
11.14	Contempt Hearing	If a child (or parent) does not comply with the court orders for the child they can be brought in front of the judge again on issues of contempt of a court order.	Judicial Officer	Parent; Juvenile	Contempt of Court Order	X	
11.16	Notifications	Notifications are sent to all parties involved in the contempt hearing.	Court Clerk	Case Participants; School	Notifications		X
11.17	Sentencing Hearing	Upon completion of the case (time expiration or all conditions / orders met, the case can be ordered purged.	Judicial Officer	Case Participants	Completion of Case	X	
11.2	Meet Participants	If a referral is made to a community truancy board, the truancy board must meet with the child, a parent, and the school district representative and enter into an agreement with the petitioner and respondent regarding expectations and any actions necessary to address the child's truancy within thirty days of the referral.	Truancy Board	Community Truancy Board	Truancy Referral	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
11.3	Reach Agreement	If the truancy board fails to reach an agreement, the truancy board shall return the case to the juvenile court for a hearing.	Truancy Board	Community Truancy Board	Referral	X	
11.8	Hearing on Petition Agreement	If the allegations in the petition are established by a preponderance of the evidence, the court shall grant the petition and enter an order assuming jurisdiction to intervene for the period of time determined by the court, after considering the facts alleged in the petition and the circumstances of the juvenile, to most likely cause the juvenile to return to and remain in school while the juvenile is subject to this chapter. In no case may the order expire before the end of the school year in which it is entered.	Judicial Officer	Juvenile Parent or Guardian	Order Assuming Jurisdiction to Intervene	X	
11.9	Order of Dismissal, or Ordering Child to School	A decision of the court either dismissing the petition or setting forth provisions for the child to attend school.	Judicial Officer	Juvenile Parent or Guardian	Order to Attend School	X	
13.1	Notify Parent and Child	The Parent(s) and child(ren) are notified once a case is initiated related to the child(ren) being identified as “at risk”.	Court Clerk/Court Administrator	Parent; Juvenile; DSHS; Attorney; Prosecutor	At Risk Notification	X	
13.2	Disposition Hearing	The hearing to consider a disposition plan shall be held within 14 days after the fact-finding hearing of on an at-risk youth petition. Each party shall be notified of the time and date of the hearing.	Judicial Officer	Parent; Juvenile; DSHS; Attorney; Prosecutor	Disposition Plan	X	
13.3	Review Hearing	The court shall schedule a review of a dispositional order of an out-of-home placement within 3 months of the placement. The notice of the review hearing required by RCW 13.32A.190 may be given to the parties at the placement hearing, or they may be notified in accordance with rule 11.2. The hearing shall be conducted in accordance with RCW 13.32A.190.	Judicial Officer	Parent; Juvenile; DSHS; Attorney; Prosecutor	Dispositional Order	X	
13.4	Extension of Supervision Order	If the court finds, and the parent agrees, that there are compelling reasons for an extension of supervision, an extension of supervision can be granted not exceed ninety days.	Judicial Officer	Parent; Juvenile; DSHS; Attorney; Prosecutor	Extension of Supervision	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
13.5	Contempt Hearing	If a child does not follow the orders issued by the courts there can be contempt hearing held. The number of contempt hearing held can trigger a child be referred to Juvenile Court for criminal case filing.	Judicial Officer	Parent; Juvenile; DSHS; Attorney; Prosecutor	Contempt of Court Order	X	
14.1	Notice to Appeal and Fee	A party must seek review of a decision in a criminal case in the superior court of the county in which the offense allegedly occurred if the court of limited jurisdiction from which the appeal is taken is located in a joint justice court district. In all other cases, a party must seek review in the superior court for the county in which the court of limited jurisdiction from which the appeal is taken is located. A party appealing a decision subject to these rules must file a notice of appeal in the court of limited jurisdiction within the time provided by rule 2.5. This is the only jurisdictional requirement for an appeal. The first party to file a notice of appeal shall, at the time the notice is filed, pay the statutory filing fee to the CLERK of the court of limited jurisdiction in which the notice is filed.	Case Participants	Case Participants	Notice of Appeal	X	
14.10	Transmittal of Mandate	The mandate is transmitted to the lower court, and to each party, unless a party files a timely notice for discretionary review. The lower court shall comply with the mandate of the superior court and shall enter the judgment for enforcement in their court.	Court Clerk	CLJ/ Agency	Transmittal of Mandate	X	
14.2	CLJ Clerk Perfect Appeal	The CLERK of the court of limited jurisdiction shall immediately, upon filing of a notice of appeal and payment of the filing fee, if required, file a copy of the notice with the superior court. RALJ 2.4, CRLJ 9.1 and CRLJ 73 require the District and Municipal Courts to perfect the appeal before transmitting it to the Superior Court. The capturing of information related to the lower court case. This step implements business rules related to when the first actions by the court needs to be taken and the creation of a case file.	CLJ/Agency	Case Participants; CLJ/ Agency	Notice of Appeal	X	X

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WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
14.8	Issue Stay on Appealed Case Decision	The Superior Court judge has the option to issue a stay on the lower court's decision on the case on appeal. If it is stayed, an order needs to issued, signed and delivered.	Judicial Officer	CLJ/ Agency; Case Participants	Stay of the Lower Court's Decision	X	
14.9	Oral Arguments/Decide Appeal	Each side shall be allowed 10 minutes for oral argument, or longer if ordered by the superior court.	Judicial Officer	Case Participants	Decision	X	
18.11	Notify Law Enforcement of Restraining Order Issues	The Court Clerk is responsible for notifying the local law enforcement agencies that a restraining order has been lifted or modified (see step 18.10).	Court Clerk	Law Enforcement	Restraining Order	X	X
18.14	Mark as Final Judgment	Upon filing of the final judgment the case documents related to a paternity case are reviewed by the Court Clerk and marked as "Final Judgment" documents and made public.	Court Clerk	Case Participants	Final Judgment	X	
18.5	Order for Amended Birth Certificate	When a father is identified the judicial official has the option of issuing an order to amend the child's birth certificate identifying the father.	Judicial Official	County Auditor	Birth Certificate Modification	X	
18.7	Support Orders	Once costs are determined and child support payments are identified a support order is issued by the judicial official. The support order remains open in case there are conditions/reasons brought to the court that may change the original order amount.	Judicial Official	Division of Child Support; Subject	Child Support Order	X	
18.8	Residential Provisions	The case may be revisited if issues/concerns with the child's residential provisions are raised. This can be an ongoing activity.	Judicial Official	Case Participants	Residential Provisions	X	
18.9	Parenting Plan	If a parenting plan is needed, one will be created. This too can be revisited as needed as long as the child in question resides with the parent and is a minor.	Judicial Official	Case Participants	Parenting Plan	X	
EA – 3	Mediation Actions	External Activities: If the case participants reach a mediated agreement the parties sign a settlement agreement and file it with the court. This settlement filing will resolve the case.	Case Participants	Case Participants	Settlement Agreement	X	
EA. – 2	Request Mediation	External Activity: The parties involved in a civil case can explore and partake in mediation activities to resolve an issue/case at any time before a judgment is issued on the case by a judicial official.	Case Participants	Case Participants	Civil Case Resolution	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
EA-1	Assign Case Numbers	AOC I assigns each local court a set of case numbers, by case type.		AOC	Case Number Assignment		X
External Action 7	Develop Standard Forms	The Administrative Office of the Courts creates and maintains standard forms used for case filings including paternity cases. The forms are available to participants via WA State Courts website.	AOC	AOC	Standard Forms	X	
External Action 8	Maintain Schedule and Standards for Payments	The schedule and standards for paternity payments is maintained in RCW 26.19. The numbers in the payment schedule are reviewed by the joint legislative audit and review committee along with the child support work group created in RCW 26.19.025 on a four year cycle starting in 2011.	AOC	Parent	Payment Schedule	X	
External Activity 10		If the court assumes jurisdiction, the school district shall regularly report to the court any additional unexcused absences by the child. If the child fails to comply with the court order, the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as community service. If a child continues to be truant after entering into a court-approved order with the truancy board under RCW 28A.225.035, the juvenile court shall find the child in contempt, and the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as meaningful community service.	School District	School District	Unexcused Absences	X	
External Activity 4	Distribution: Petition, Order Appointing GAL, Notice of Petition	The petitioner for guardianship is tasked with distributing all court issued/order documents/ communications with the case participants.	Case Participants	Attorney	Case Documents	X	
External Activity 5	Statement of GAL Qualifications	The Guardian Ad Litem (GAL) needs to produce and submit a statement of qualifications to the court before beginning work on the case.	Guardian Ad Litem	Attorney	Statement of Qualifications	X	
External Activity 6	File GAL Reports	The GAL will issue a required/requested report to the court for the case on hand.	Guardian Ad Litem	Attorney	Report	X	
External Activity 7	File Oath and Bond	The guardian needs to file an Oath and Bond with the courts before they can be assigned to a case.	Guardian	Guardian	Oath and Bond	X	

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FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Information Exchange
External Activity 8	Prepare Documents for Review	The guardian will produce required documents for the court case.	Guardian	Guardian	Guardian Documents	X	
External Activity 9	Appeal Adoption Decision	The adoption decision can be appealed by any case participant. This then becomes a Civil Domestic Relations Case.	Other parties	Case Participants	Adoption Decision	X	
External Activity 9	Challenge allocation of Paternity	A person can open a case that challenges the allocation of paternity of a child.	Other	Case Participants	Paternity Challenge	X	
Pre Activity 3	File Will With Clerk	A case participant initiates a case by filing their will with the county clerk. This case is created and just held until the death of filer of the will.	Case Participant (John Q. Public)	Case Participants	Will	X	
Pre Activity 4	Begin Probate Case Action	The will of a deceased person is submitted county clerk at the court.	Case Participant (John Q. Public)	Case Participants	Will	X	
Pre Activity 5	Submit Petition	If no will is available a petition is submitted on behalf of the deceased.	Case Participant (John Q. Public)	Case Participants	Petition	X	
Pre-Action 1	Arrest	A person is arrested by the police. Based on the age, severity of the alleged incident, and other factors, the arrested person may be sent to district court or the Superior court for their first hearing.	Law Enforcement	Law Enforcement	Arrest		X
Pre-Action 2	District Court	The district court may hold a probable cause hearing and bail/release hearing for a suspect before the case is opened at Superior Court.	Local District Court	Jail	Bail/ Release Decision	X	
Pre-Action 7	Arrest	A person is arrested by the police. Based on the age, severity of the alleged incident, and other factors, the arrested person may be sent to district court or the Superior court for their first hearing.		Law Enforcement; Prosecuting Attorney	Arrest	X	
	Financial Process	When a case is filed a fee is collected. Sometimes the fee is waived. (Specific business rules will need to be defined.) Also, if a case is sent to arbitration, an arbitration fee is charged. If an arbitration case then is converted to a trial de novo, is used the original case number and no new fee is collects.	Court Clerk	Case Participants	Request Ex Parte Order	X	

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Appendix D – Enterprise Architecture – Information Networking Hub Design

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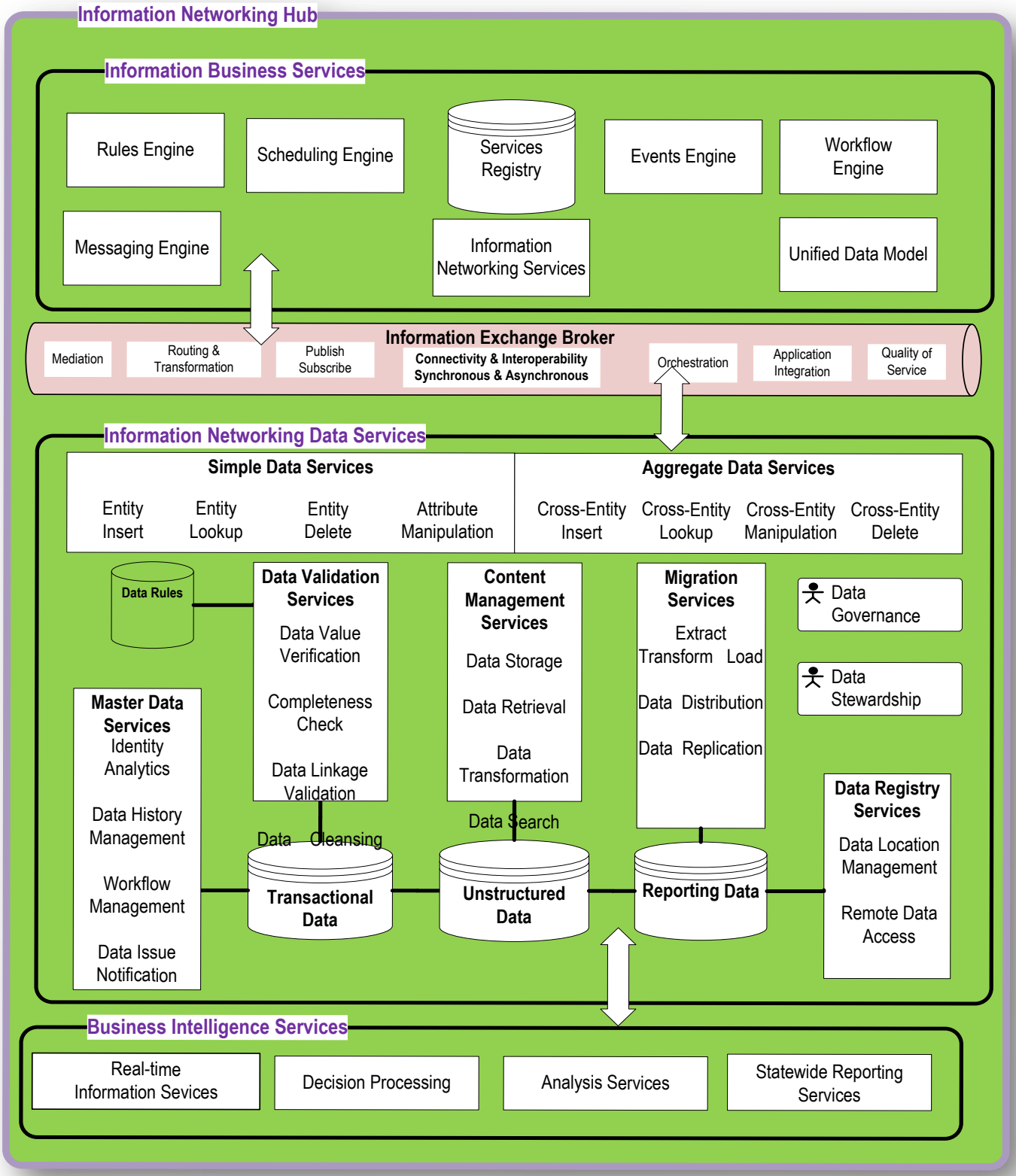
Information Networking Hub
Information Business Services
Rules Engine
Scheduling Engine
Services Registry
Events Engine
Workflow Engine
Messaging Engine
Information Networking Services
Unified Data Model
Information Exchange Broker
Mediation
Routing & Transformation
Publish Subscribe
Connectivity & Interoperability Synchronous & Asynchronous
Orchestration
Application Integration
Quality of Service
Information Networking Data Services
Simple Data Services
Entity Insert
Entity Lookup
Entity Delete
Attribute Manipulation
Aggregate Data Services
Cross-Entity Insert
Cross-Entity Lookup
Cross-Entity Manipulation
Cross-Entity Delete
Data Rules
Data Validation Services
Data Value Verification
Completeness Check
Data Linkage Validation
Content Management Services
Data Storage
Data Retrieval
Data Transformation
Migration Services
Extract Transform Load
Data Distribution
Data Replication
Data Governance
Data Stewardship
Master Data Services
Identity Analytics
Data History Management
Workflow Management
Data Issue Notification
Data Cleansing
Data Search
Transactional Data
Unstructured Data
Reporting Data
Data Registry Services
Data Location Management
Remote Data Access
Business Intelligence Services
Real-time Information Sevices
Decision Processing
Analysis Services
Statewide Reporting Services