



Washington State Administrative Office of the Courts

Superior Court Management Feasibility Study

Migration Strategy
Version 2.8

Deliverable 6

PSC 11291 Superior Court Management Feasibility Study Project

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Date:	June 2, 2011

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Document History

Author	Version	Date	Comments
Robert Marlatt	V1		Initial draft
Robert Marlatt	V2	3/1/2011	Revised draft
Robert Marlatt	V2.1	3/11/2011	Revised draft based on initial project officer comments
Joseph Wheeler	V2.2	3/22/2011	Detailed project officer review
Joseph Wheeler	V2.3	3/22/2011	Detailed project officer review
Joseph Wheeler	V2.4	4/18/2011	Addition of local court planning phase
Robert Marlatt	V2.5	4/21/2011	Revised draft
Robert Marlatt	V2.6	5/4/2011	Revised draft based on AOC review comments
Robert Marlatt	V2.7	5/19/2011	Revision based on AOC review comments
Robert Marlatt	V2.8	6/1/2011	Revision to incorporate recent input from AOC Enterprise Architecture Management and Pierce County

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,

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 County 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, County 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, County 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	ISD Enterprise Architecture Unit
IBM	International Business Machines
IGN	Intergovernmental Network
INDS	Information Networking Data Services
ISD	AOC Information Services Division
IT	Information Technology
JIS	Judicial Information System -- AOC's legacy database
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 court application
MOUs	Memorandums 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

Acronym or Term	Definition
PMO	Project Management Office
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
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

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
- Superior courts
- Judicial Information Systems Committee (JISC)
- AOC
- Other stakeholders

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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 and supplies downstream data feed to other law enforcement agencies.
- 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
Mental Illness/Alcohol	9,525
Juvenile Dependency	20,702
Juvenile Offender	20,360

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

Category ¹	Statewide Cases
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. County 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 County Clerk authenticates by certificate and/or transcript the records, and files procedures of the court. The County 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 County Clerk preserve and journalize all orders for security purposes. The County 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 County 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 County Clerk, as an agent of the court, collects statutory fees, fines, and trust funds. The County 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 County 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 County Clerk is required to be present at all court proceedings for the purpose of receiving and marking court documents and exhibits. The County 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.

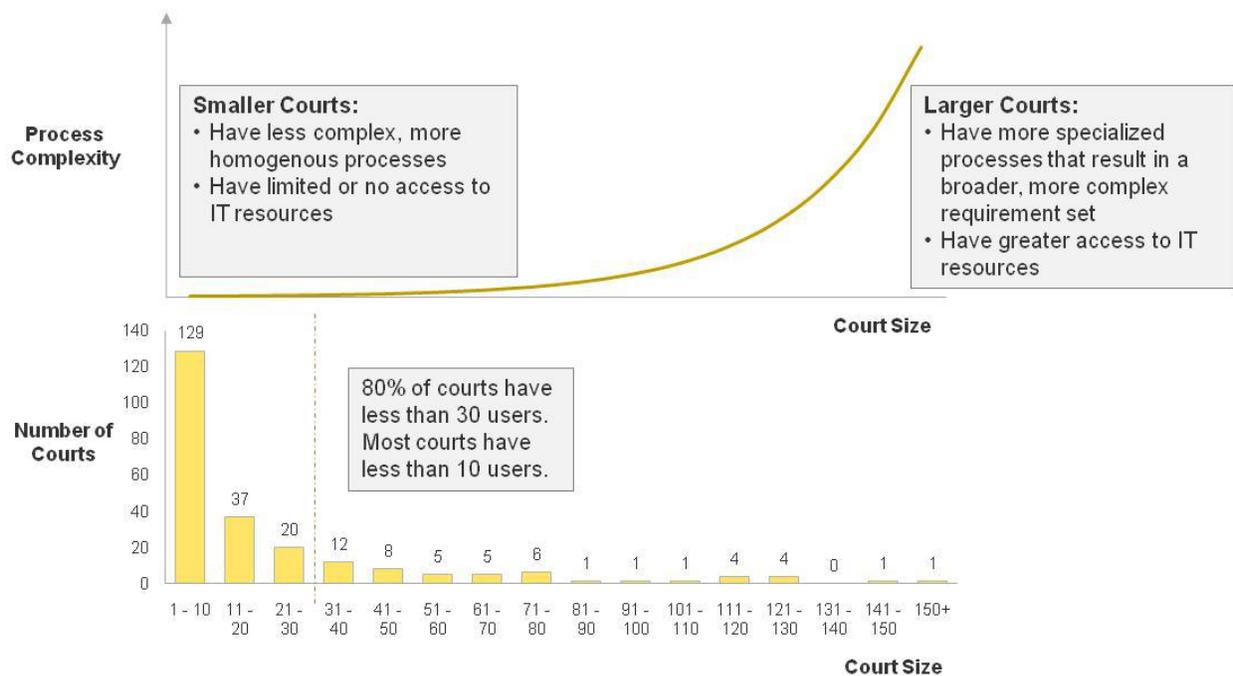


Figure 1 – Comparisons of Courts

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:
 - JISC
 - Court of appeals
 - SCJA

- DMCJA
- Bench-Bar-Press Committee of Washington
- AOC Administration provides the following services:
 - 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

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 Information Networking Hub with information exchanges between the SC-CMS database and the Information Networking Data Services (INDS), which accesses the state-level court information. The application will also support interfaces through the Information Networking Hub 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

The AOC has a well-established information technology environment to support court applications. Based on the ISD Business Plan, the AOC is methodically transforming this environment to support the integration and highly effective operation of the disparate custom, commercial, and local partner applications accessed by the courts. SC-CMS will be implemented in this environment and will interact with local IT resources.

This technical context is broken down and described according to the following components.

- AOC Current Technology Environment
- AOC Technical Architecture
- Proposed SC-CMS Technology Environment
- Local Court Technology Environment

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. AOC Technical Architecture

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 technology architecture that supports the Washington State JIS as a key competency and result area for ISD.

Architecture 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 Information Networking Hub and describes its composition.

AOC expects to leverage the implementation of the SC-CMS to begin constructing the technical infrastructure, particularly the Information Networking Hub. A central feature of the Information Networking Hub is to provide access to state-level court information, depicted in the following diagram. Access to state-level 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 information networking exchanges with the Information Networking Hub. Other judicial applications (AOC and local applications) may also exchange information with the Information Networking Hub.

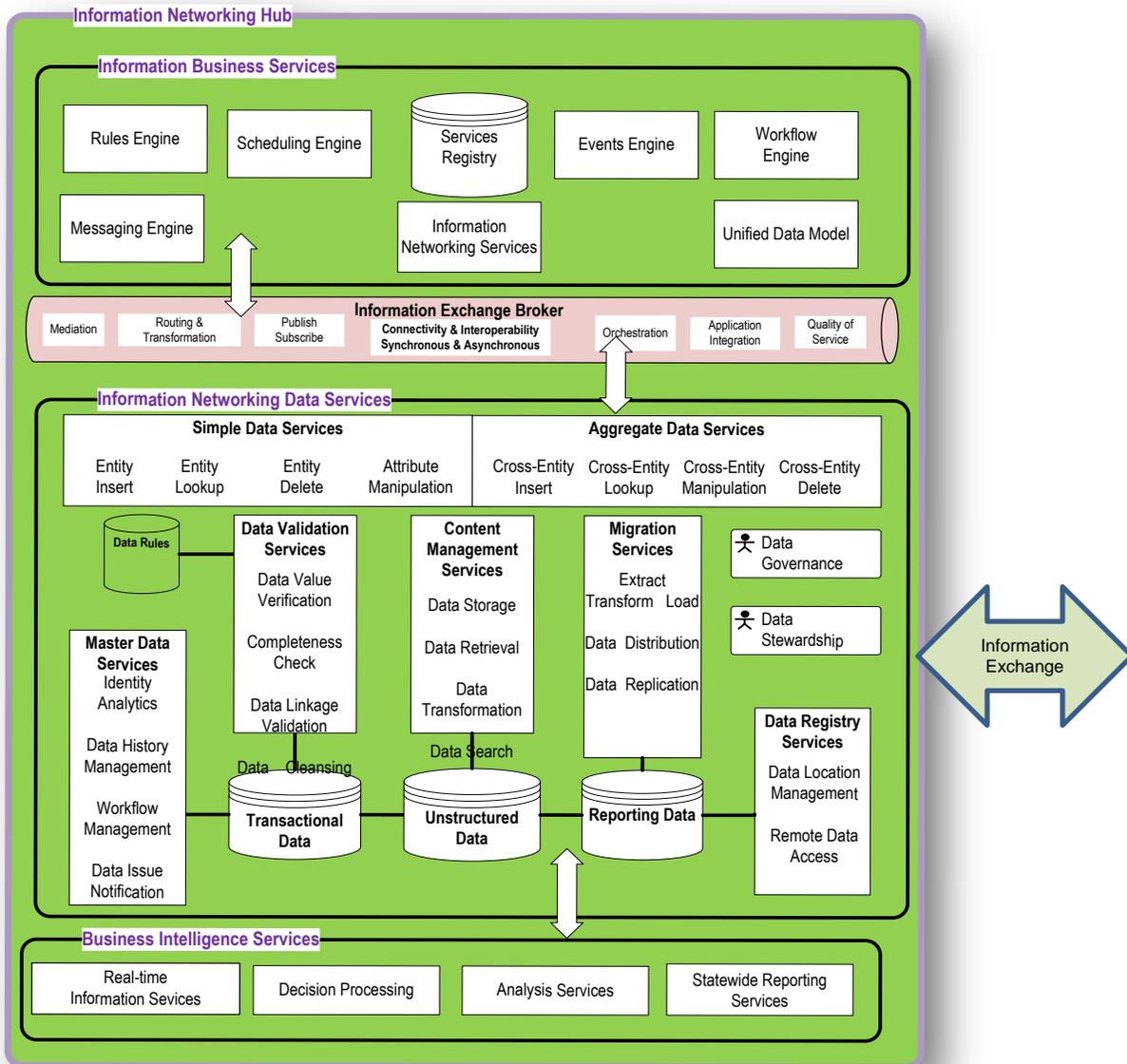


Figure 2 – Information Networking Hub

3. Proposed SC-CMS 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.

SC-CMS Technology Architecture

WORKING DRAFT

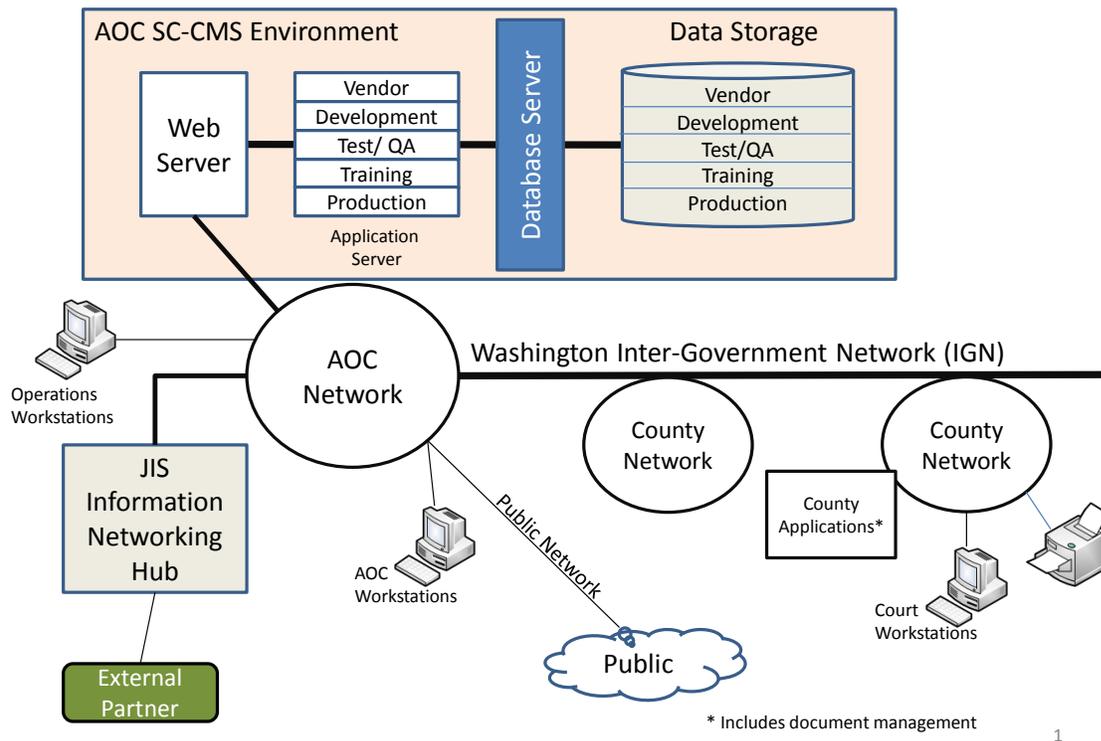


Figure 3 – Proposed SC-CMS Technology Overview

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

The application will connect to the AOC network, the state Inter-Governmental Network (IGN), and the county network. The court workstations will access the AOC and county applications.

The SC-CMS application will require data exchanges to be established with the Information Networking Hub central data services. The AOC needs to support statewide case data either by using the state-level court information retrieved from the Information Networking Hub, or by continuing to use the JIS database.

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 County 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 Information Networking Hub. The application connects to a relational database that stores the courts' business data.

As noted above, 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.

III. Proposed Migration Plan

Migrating to a new court application on a statewide basis is a large and complex endeavor. A commonly used framework is employed to describe the proposed migration plan. This framework divides the system acquisition and implementation efforts into five 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 five-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.

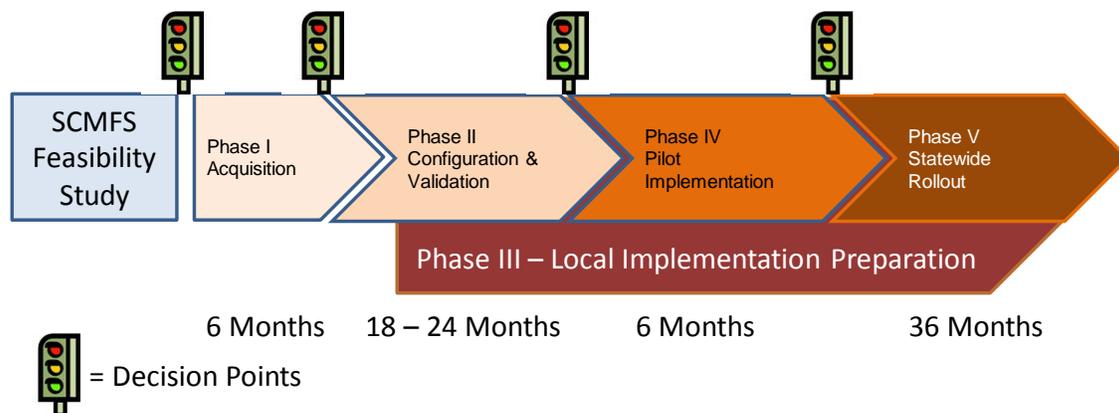


Figure 4 – Migration Plan Overview

- **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 Information Networking Hub, 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 County Clerks to support their operations. Each court must work with its County 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 County 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
- Help Desk services
- Extended warranties

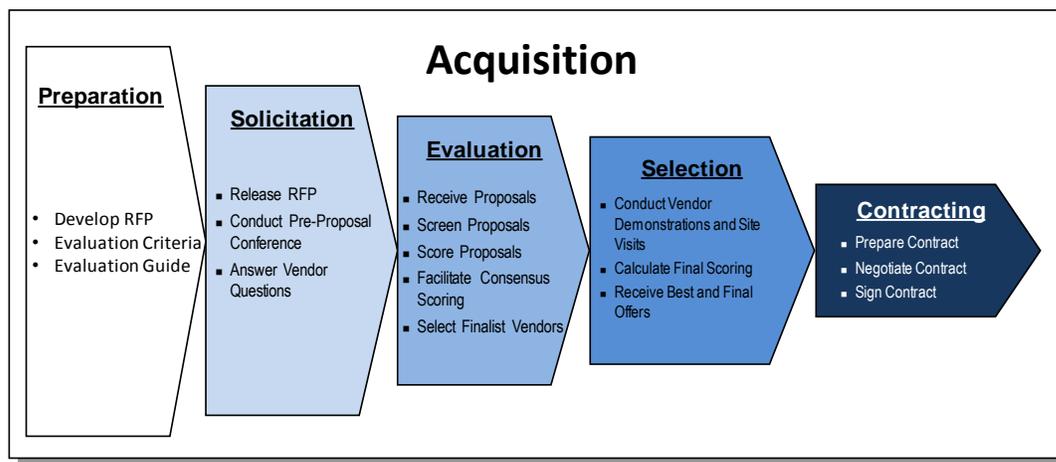


Figure 5 – Acquisition Approach

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

The JISC may choose to direct AOC to avoid procurement and establish an intergovernmental partnership with Pierce County to employ the LINX application. If this is the case, then AOC and Pierce County will need to work together to establish the agreements, governance, resources, and organization to develop, maintain, and support the application.

Based on a series of discussions with and documentation received from Pierce County representatives, the county intends to re-platform and maintain the LINX application as an open source application. The Pierce County Council has approved this approach.

The county has drafted a project charter for the LINX re-platform effort². This document describes the manner in which LINX will be converted to an open source platform and discusses the extent of the development effort that will be sponsored by Pierce County. If this model is

² Project Charter for LINX Re-platform Project, Revision 0.8, Pierce County Information Technology Department, December 15, 2010. This is a proprietary and confidential document received by AOC May 19, 2011.

adopted, intellectual property (IP) would be contributed under the terms of the Open GL Public License. The county will enlist the support of private sector software, integration, and project management development companies to assist in the effort. It also proposes the development of a governance plan and a partnership with each court to address system development, customization, and deployment. The charter presents a series of seven milestones, to be achieved in the following areas of the application as outlined by the scope of the project.

- The process associated with the management of superior court cases.
- All aspects of calendaring and scheduling for superior courts.

Beyond these decisions, the amount of planning documentation that has been generated by Pierce County regarding the use of LINX as a statewide solution for the superior courts is limited. The AOC and Pierce County would need to develop and enact the necessary agreements, governance, resources, organization, policies, and procedures to re-platform, configure, deploy, and maintain LINX as a statewide solution for the Washington superior courts. These efforts are depicted in Figure 6 below.

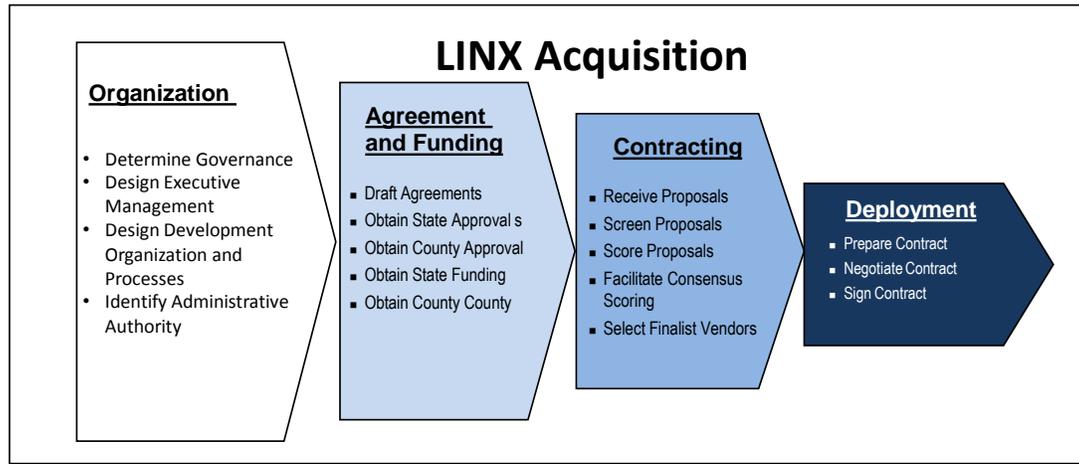


Figure 6 – LINX Acquisition

At a summary level, these tasks are likely to include:

- Planning for the LINX Open Source application
- Establishing governance and creating a decision-making structure
- Identifying funding sources and securing funding
- Establishing software development management structure
- Establishing software support management structure
- Developing and implementing long-term staffing plans
- Creating or identifying fiscal and administrative organizations that will be employed to support development and maintenance operations
- Executing contractual instruments
- Acquiring and implementing infrastructure, technology, and tools
- Establishing 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. Through an extensive series of discussions and meetings, the AOC has worked with Pierce County to identify these organizational needs. At this point, Pierce County has proposed general program organization and solution concepts³ that the organizations are working to clarify.

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 re-platform LINX, to integrate it with the AOC Information Networking Hub, and to support the configuration needs of local courts would require approximately 41,600 hours⁴.

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 7.

³ Program Organization and Solution Concepts for Legal Information Network Exchange (LINX), May 19, 2011 presentation.

⁴ Estimate from Linda Gerull, Information Technology Director, Pierce County, May 23, 2011 email.

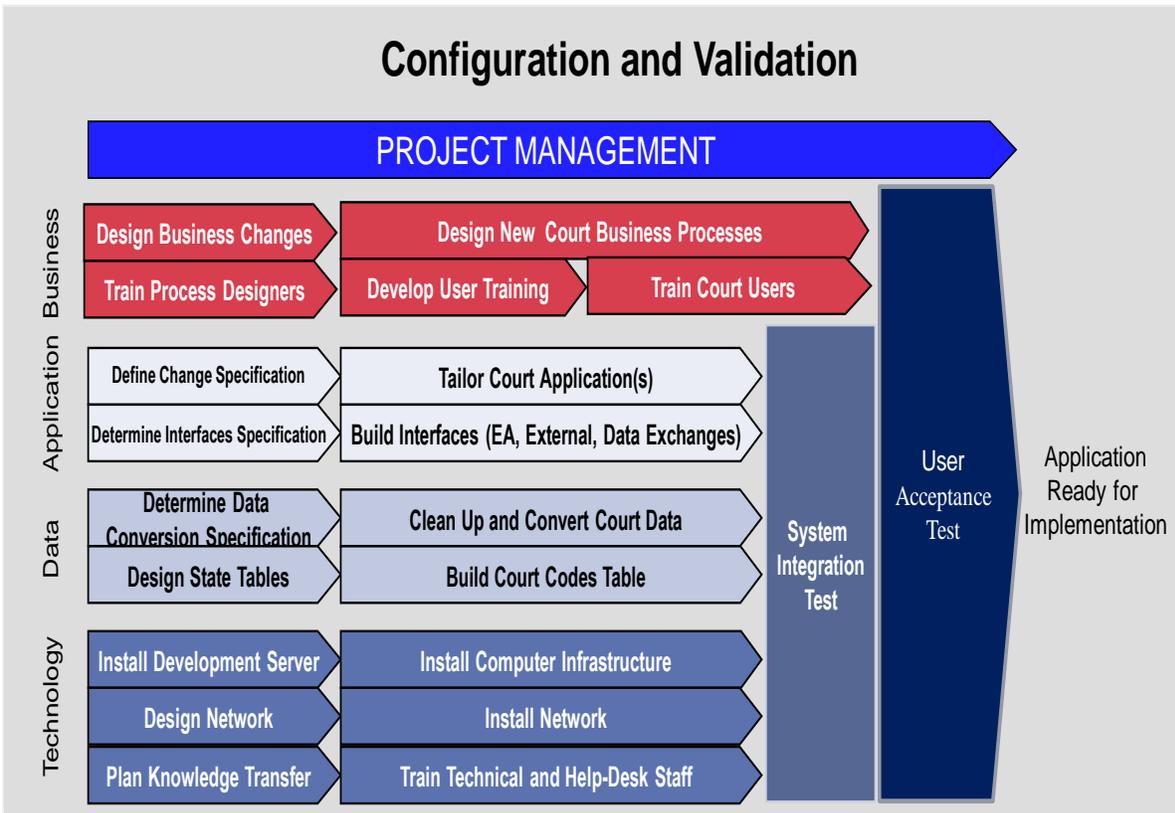


Figure 7 – Configuration and Validation

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.

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.

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 developed 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 SC-CMS application will promote statewide configuration standardization.

The AOC, court representatives, County Clerk representatives, and the solution provider will work together to define how County 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 County 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.

AOC will establish a court user working group consisting of representatives from each court district and including a cross section of judges, court administrators, and County Clerks. This working group will consider tactical and operational policy issues and make recommendations to the Executive Sponsor Committee, who will establish the policy. AOC will include four (4) subject matter experts (SMEs) on the project team. The AOC Judicial Services Division will also participate in the court user working group and work with court leadership in the various districts to prepare business operations for integration with the new SC-CMS application. The Court Education Services section will be involved in developing training for appropriate stages of the implementation process.

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 County 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 County 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 County 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 County 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, County 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.

The solution provider and AOC will configure the application to support basic Washington superior court operations. Later phases will allow local courts to configure the system to support their local practices. The SC-CMS application will promote statewide configuration standardization. Based upon the capabilities and constraints of the application and the input from the court user working group, AOC and the solution provider will develop two to three (2–3) standard configuration options. Each local court will select the configuration option that best supports its local business operations.

Activities include:

- **Define Change Specification** – The solution provider will work with AOC, court, and County 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 INDS and other Information Networking Hub 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. The solution provider will enable the application to support the three baseline configuration options from which local courts can select.
- **Build Interfaces** – The solution provider will build interfaces to an AOC Information Networking Hub to support the exchange of data with other AOC applications and services. The solution provider will also develop interfaces with external partners through the Information Networking Hub, 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. 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 Information Networking Hub.

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/Information Networking Hub as they transition away from SCOMIS. Instead, they will be involved in determining how to convert and store 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, supporting the performance needs of the individual courts. The activities involved include:

- **Define Data Conversion Specification** – The solution provider will work with the AOC, court, and County 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 County 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 Information Networking Hub 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 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 County 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 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 4⁵.

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 County Clerk 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 8, 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.

⁵ 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.

Preparation and Implementation Relationship

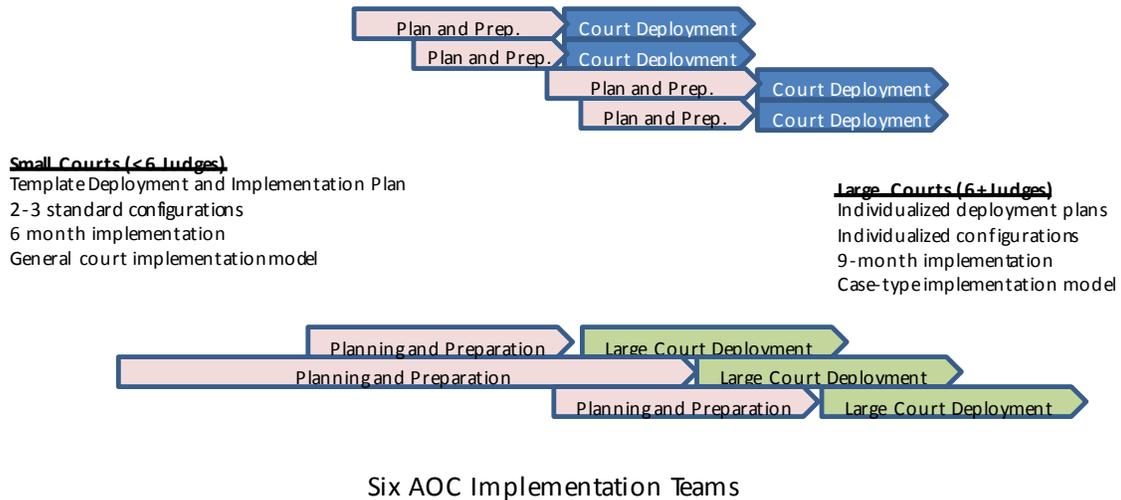


Figure 8 – Preparation and Implementation Relationship

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

- Communicating to the court community
- Training the court and court community
- Conducting readiness assessment
- Redesigning court business processes to align with statewide configuration
- 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 designing data conversion
- Redesigning the application portfolio
- Designing interoperability
- Designing local technical infrastructure

These activities are depicted in Figure 9, below. They fall into categories of project management, business, application, data, and technology. Each of these activities is described in the sections that follow.

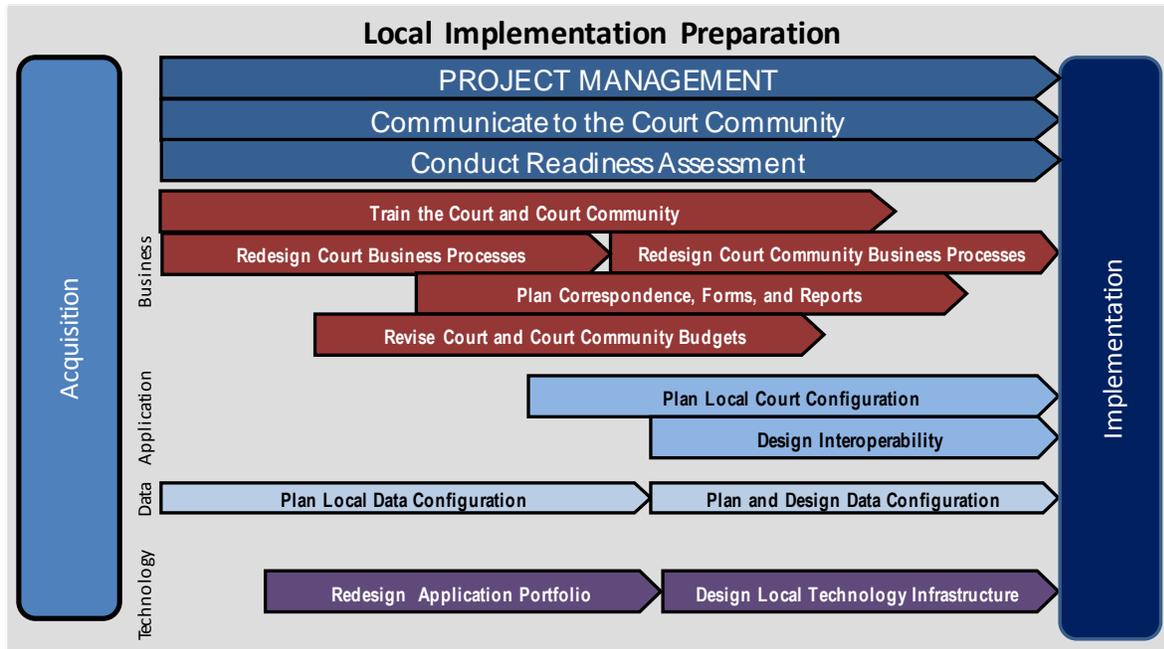


Figure 9 – Local Implementation Preparation

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 to Align with Statewide Configuration

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.

Each local court will be asked to select one of three statewide configuration options. They will use the templates developed for those configurations for their planning and preparation activities.

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 its 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 County 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 County 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.

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 County 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.

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.

* * * * *

Once the local courts have completed the local implementation preparation tasks, they will be ready to participate in the actual implementation of the system. They will work with AOC

following the standard scripts developed in the pilot implementation to undertake the methodical implementation of the SC-CMS according to their turn in the implementation order.

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 10 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.

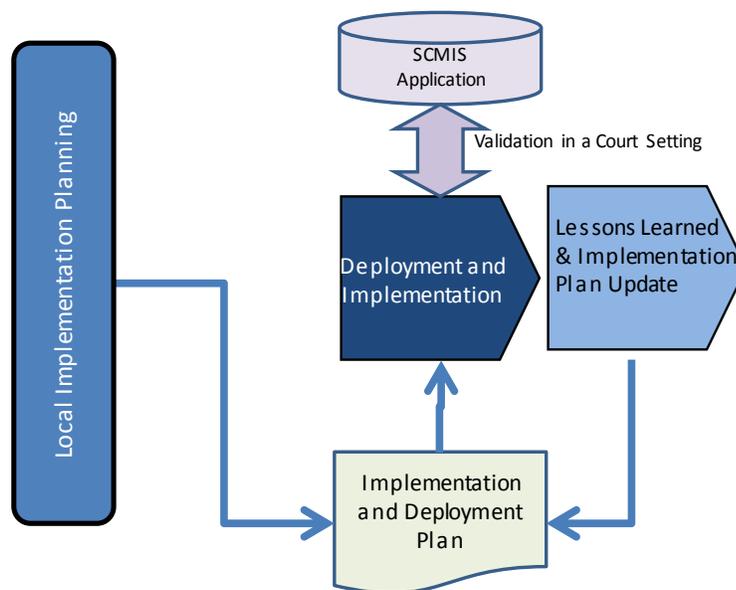


Figure 10 – Pilot Implementation

1. Deployment and Implementation

This phase executes the implementation and deployment plan to actually configure the application, train the court and County 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, County 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, County 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.

If the application fails to meet expectations, the fallback will be to return to using existing court applications and procedures (e.g., SCOMIS). The completion of this pilot implementation represents a key checkpoint during which the JISC will determine whether to proceed with implementing the application statewide or continue using existing systems to support superior court operations.

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 11 illustrates this deployment challenge.

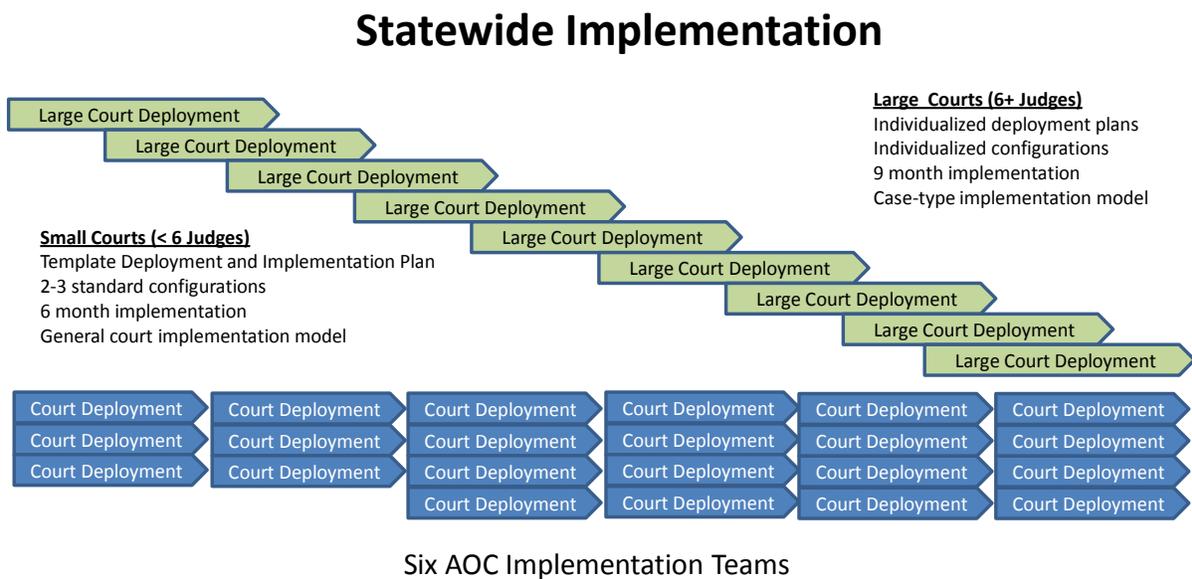


Figure 11 – Statewide Implementation Alternatives

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.

Table 2 – Court Districts Implementation Groups

Court	Judges	Small Court Implementation Plan	Large Court Implementation Plan
Adams	1	X	
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	23	9

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 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.

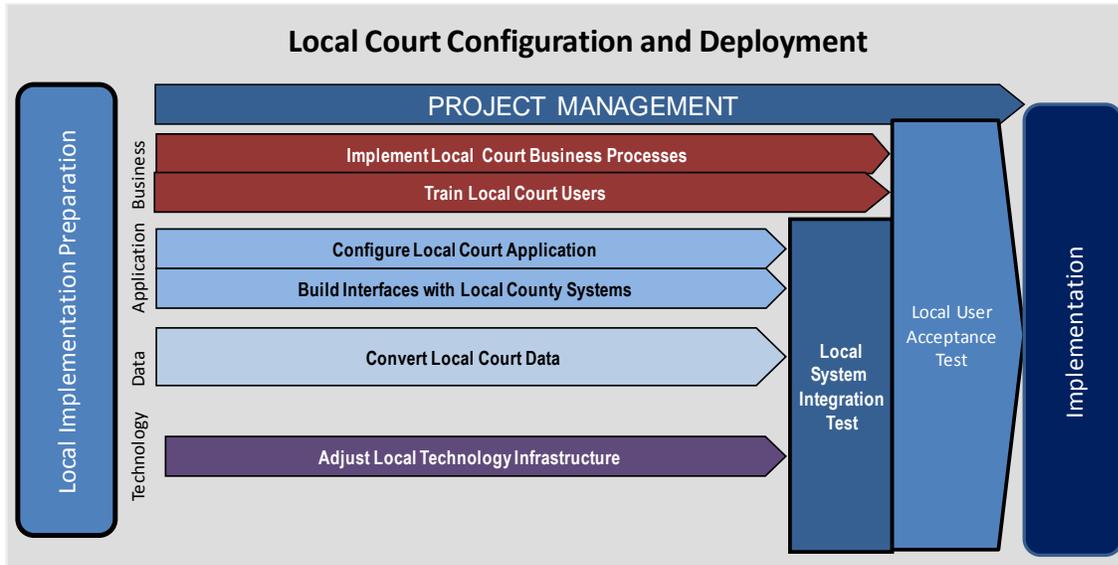


Figure 12 – Local Court Configuration and Deployment

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 County 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 County 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, including their intricate local integration 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 in the LINX re-platforming project. This effort, described earlier, is estimated to require 41,600 hours of effort. Based on Pierce County estimates and plans, this will require a minimum of 24 months to design, build, test, and validate this application for implementation in Pierce County. According to these plans, the application would be available to rollout to the pilot county 90 days later.

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	September 2011	September 2011
Request for Proposal Development	<ul style="list-style-type: none"> 3 Months 	
Procurement	<ul style="list-style-type: none"> 6 Months 	
Intergovernmental Agreements and Organization Development		<ul style="list-style-type: none"> 6 Months
Software Configuration and Validation	<ul style="list-style-type: none"> 18 to 24 Months* Configure, Customize, and Test 	<ul style="list-style-type: none"> 24 Months Design, Construct, and Test Application for Pierce County 27 Months for Pilot Court
Local Implementation Preparation	60 Months for All 32 Court Districts	
Pilot Implementation	6 Months	
Statewide Implementation (Small Court Districts)	6-Month Implementation Cycles With 6 Groups, With 4 or Fewer Courts in Each Group	
Statewide Implementation (Large Court Districts)	9-Month Implementation Cycles With 3 or Fewer Courts Per Year	

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

IV. Migration Project Organization

The migration effort requires effective governance and project management for its success. This section outlines the plans to address the governance and management processes for successful completion of the SC-CMS application implementation project. It considers:

- Project governance structure
- Project management structure
- Project operations

These plans employ the existing governance and organizational structures in place for information technology management by Washington State government, the JISC, the AOC, and the courts. It is anticipated that these structures will remain in effect even if the AOC entered into a partnership with Pierce County and other entities to re-platform LINX and employ it for the superior courts statewide.

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.

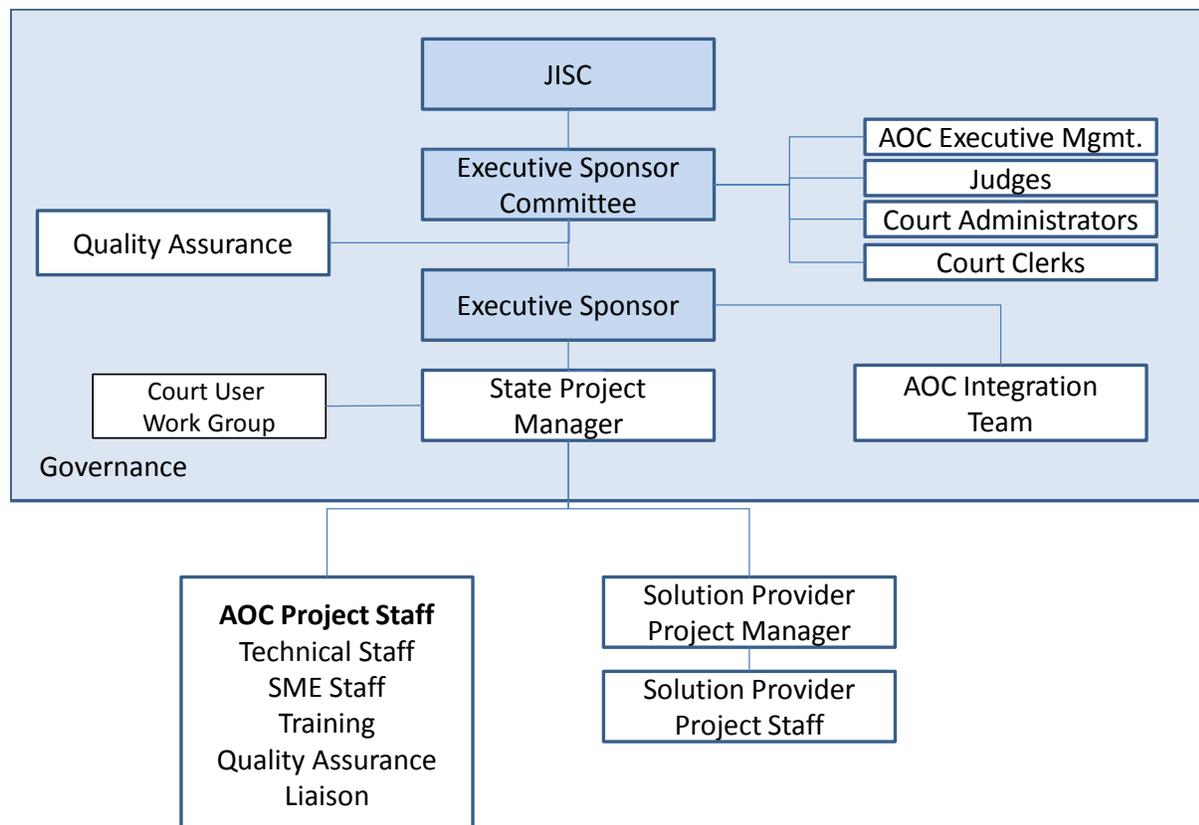


Figure 13 – Project Governance Structure

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; County 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.

6. Court User Working Group

Throughout phases II through V, policy questions may arise that need to be resolved by the court community. The court user working group will be a policy-working group consisting of representatives from the various court districts in Washington. It will include judges, court administrators, and County Clerk staff, and will meet periodically to consider operational policy issues identified by the project team and its assigned SMEs. The state project manager will disseminate documented issues to the group for consideration and the development of recommendations, which will then be sent to the Executive Sponsor Committee for adoption.

The court user working group will establish task groups to analyze and recommend operational policies.

AOC may invite each court district to send a representative to participate in the court user working group, and may invite several larger courts to include additional staff as needed. AOC will manage the composition of the group to ensure an adequate representation of judges, court administrators, and County Clerks. The frequency of group meetings, which will normally occur monthly, will be based upon the number of issues that need resolution. Work group members will be expected to address issues outside of the scheduled court user working group meetings. The court user working group will influence how the SC-CMS application is configured and how business operations will be integrated with the new SC-CMS application.

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 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 that will be used for the Configuration and Validation phase of the project.

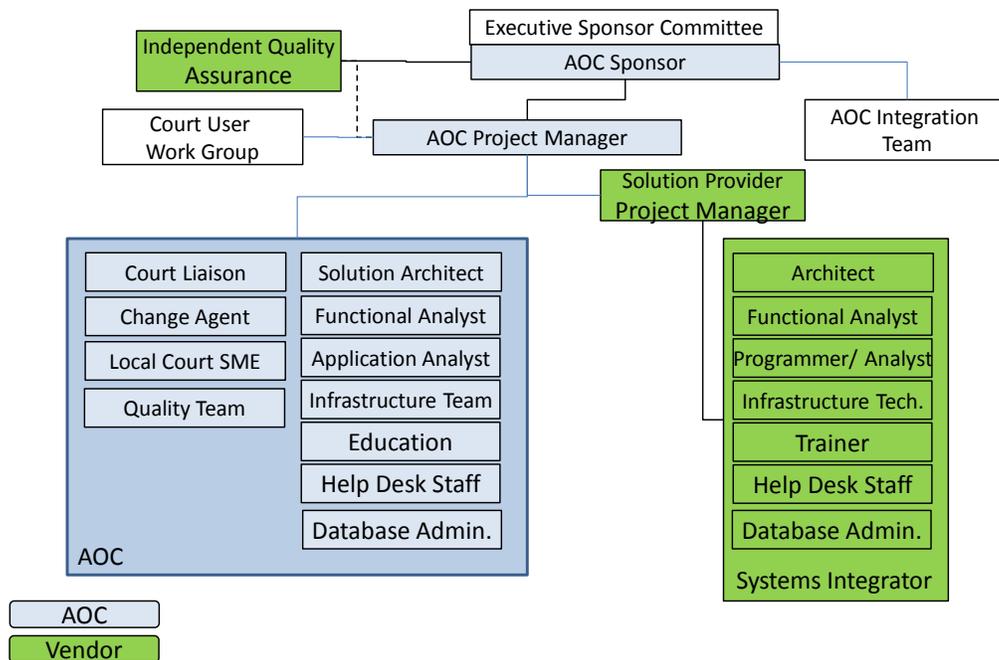


Figure 14 – Proposed Project Team

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.
- **Solution 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, including the pilot and statewide implementation.

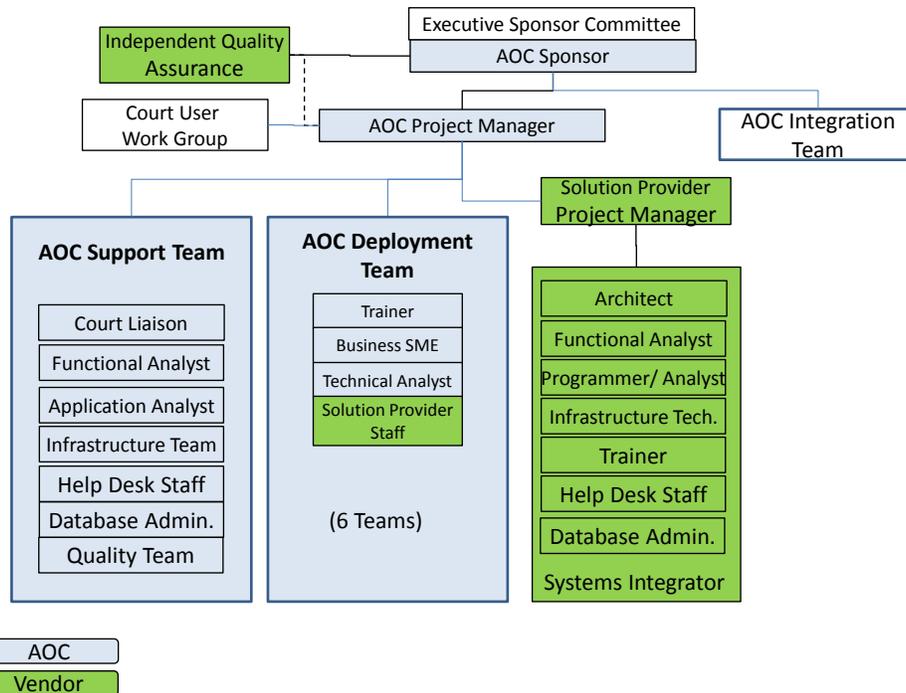


Figure 15 – Project Organization for Implementation Phase

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. This project will follow the PMI methodology – PMBOK guidelines where appropriate and generate the prescribed artifacts and control points identified in that methodology.

These standards proceed through the project initiating, executing, monitoring, controlling, and closing processes, usually following standardized project methodologies.

The PMI standards 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 that AOC has adapted.

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

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.

Table 3 – Procurement Plan

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

Table 4 – Project Resource Estimates

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	<ul style="list-style-type: none"> • AOC QA staff during project • Oversee and participate in systems testing and user acceptance testing activities

Position	FTE	Comments
Infrastructure Technician	1	Support infrastructure implementation
Business SMEs	4	<ul style="list-style-type: none"> AOC identifies court staff to participate in the project. Provides business knowledge Supports testing-related activities Supports court training preparation and delivery
AOC Training Staff	As Needed	<ul style="list-style-type: none"> Consult regarding development of training plans and materials
AOC Communications Staff	As Needed	<ul style="list-style-type: none"> Support project communication requirements with constituents
AOC Application Analyst	As Needed	<ul style="list-style-type: none"> Consults with the vendor regarding application implementation and configuration issues
AOC Security Technicians	As Needed	<ul style="list-style-type: none"> Consult regarding security implementation
AOC Architecture Staff	As needed	<ul style="list-style-type: none"> Consult regarding Information Networking Hub
AOC Infrastructure management and staff	As Needed	<ul style="list-style-type: none"> Consult regarding infrastructure implementation

Ongoing Support and Maintenance

Table 5 – Ongoing Support and Maintenance Resource Estimate

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	<ul style="list-style-type: none"> 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

Table 6 – LINX Transfer Project Resource Estimates

Position	Quantity	Comments
Project Manager	1	AOC project manager full-time throughout project
Functional Analyst	6	AOC business and functional analyst
Programmer Analysts	8	Contract programmers: 4 – Pierce County programmers 4 – AOC programmers
Database Administrator (DBA)	1	AOC database administrator
Quality Assurance Analyst	2	<ul style="list-style-type: none"> AOC QA staff during project Oversees and participates in systems testing and user acceptance testing activities
Infrastructure Technician	1	Supports infrastructure implementation
Business SMEs	4	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Develop technical documentation
AOC Training Staff	As Needed	<ul style="list-style-type: none"> Consult regarding development of training plans and materials
AOC Communications Staff	As Needed	<ul style="list-style-type: none"> Support project communication requirements with constituents
AOC Application Analyst	As Needed	<ul style="list-style-type: none"> Consults with the vendor regarding application implementation and configuration issues
AOC Security Technicians	As Needed	<ul style="list-style-type: none"> Consult regarding security implementation
AOC Solutions Architecture Staff	As needed	<ul style="list-style-type: none"> Consult regarding Information Networking Hub
AOC Infrastructure Management and Staff	As Needed	<ul style="list-style-type: none"> Consult regarding infrastructure implementation

Ongoing Support and Maintenance

Table 7 – LINX Transfer Ongoing Support and Maintenance Resource Estimates

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

Position	FTE	Comments
		changes made to the application after implementation
Infrastructure Technician	0.5	AOC employee
SME	4	<ul style="list-style-type: none"> • AOC identifies court staff to support ongoing use of the application. • Provide business knowledge • Supports testing-related activities • <i>Supports court training preparation and delivery</i>
Help Desk Technician	2.5 FTE	<ul style="list-style-type: none"> • Provides first levels of support to court users.

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.
- **New Functionality and the Legislative Update Process** – The manner in which proposed legislation is evaluated will change with the new system. The flexibility and

adaptability of the new system will change the legislative fiscal impact process in the context of alterations made to the court system based upon proposed legislation.

B. Impacts to County Clerk Operations

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

- **New Roles** – Calendaring, scheduling, and case management functions performed by the County Clerk will be different using SC-CMS. The application is likely to leverage collaboration between the County Clerk and other members of court community. The County Clerk may be called on to enter less data. County 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 County Clerk functions. During initial operations, it is likely that the County Clerk staff will be less efficient than before the changeover.
- **Financial Systems** – The current system does not include financials in its scope. The County 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 County 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. Information Networking Hub 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 Information Networking Hub. This group will need to coordinate the development and implementation of the Information Networking Hub components as the application is configured for Washington courts.
- **Data Warehouse Unit** – The solution provider will provide some data warehousing capability, and the Information Networking Hub 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 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. The transition from JIS to the Information Networking Hub 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 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.
- **Information Networking Hub Implementation** – This application will require the implementation of many components of the Information Networking Hub. 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 an INDS accessing state-level court information. 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 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 cutover and initial operations. However, this should improve over time.

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 H – 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

Table 8 – Risk Assessment Summary

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 (Information Networking Hub)
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

Risk Category	# Low	# Medium	# High	Summary of High Risks
Maintenance	1	1		

B. High Risks

This section discusses each of the high risks identified in the assessment. Risks are rated according to their potential impact to the project and the likelihood of their occurrence. Each high-risk item is discussed, potential impacts are identified, and mitigation actions are suggested.

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 its Information Networking Hub concurrently with the SC-CMS application. Currently, there are significant issues with implementing the Information Networking Hub, including the lack of key systems infrastructure and services. AOC currently has no defined schema for accomplishing the data exchanges necessary to integrate the SC-CMS application with the Information Networking Hub services.
Potential Impact	Possible scheduling delays for implementing the SC-CMS due to trying to figure out the technical integration with the Information Networking Hub.
Mitigation	AOC needs to determine reasonable objectives relating to the Information Networking Hub and either invest in the necessary technical tools or delay the Information Networking Hub 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 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 a standardized court system in a very decentralized environment will also be challenging.					
Potential Impact	Implementation difficulty may result in 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.					
Risk Discussion	AOC has several initiatives that may affect the SC-CMS implementation. These include Information Networking Hub implementation, 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 (Information Networking Hub) 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.
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.					

VIII. Signatures

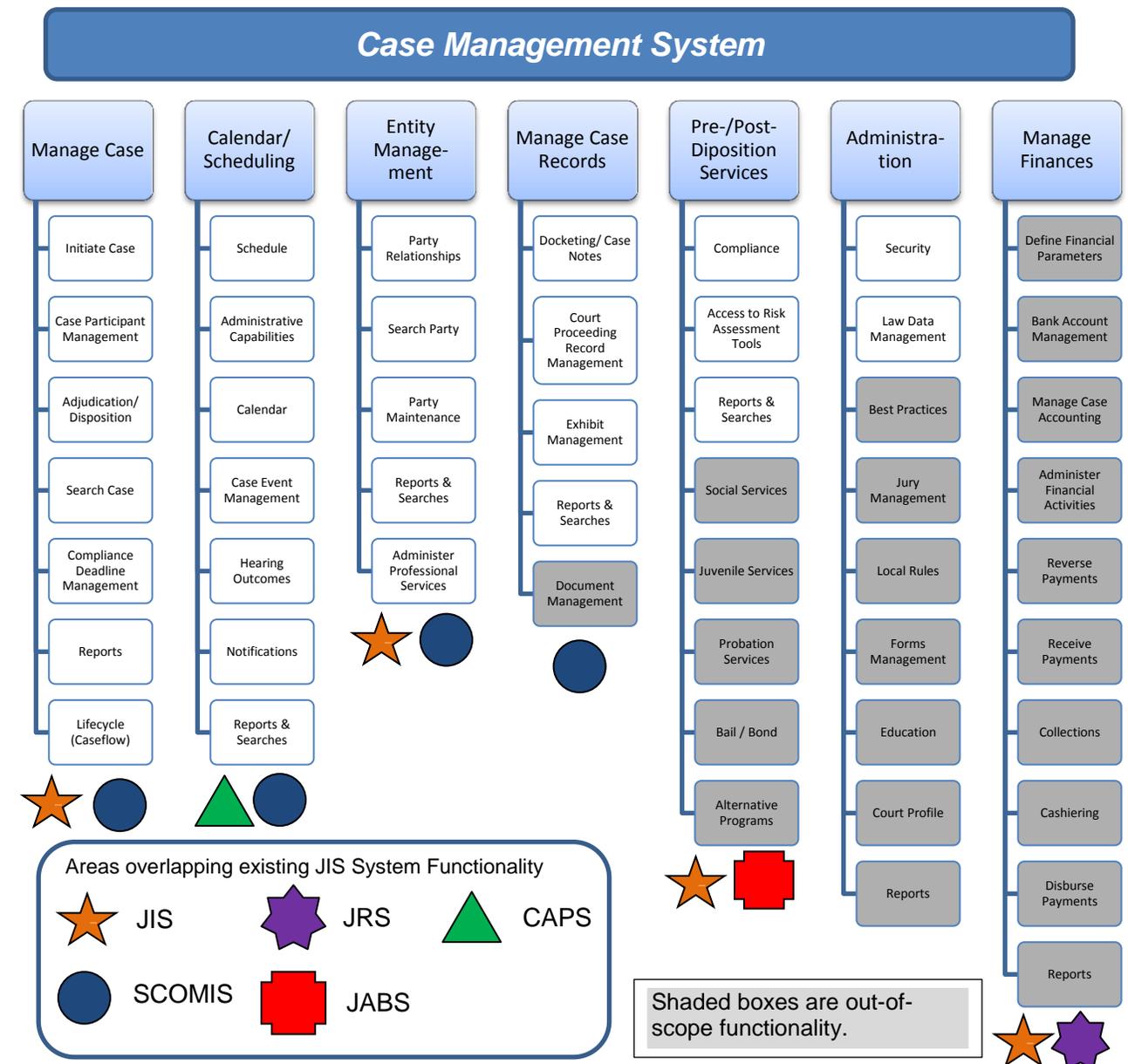
Title	Name	Signature	Date
ISD CIO	Vonnie Diseth		6/13/2011
MTG Project Officer	Joseph Wheeler		6/2/2011
AOC Project Manager	Kate Kruller		6-15-11
MTG Project Lead	Robert Marlatt		6/2/2011

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.



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.”⁶

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

⁶ *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 County 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.

- **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.

f. **Administration**

Capabilities conducted for managing and supporting a court as it carries out its business mission. Two sub capabilities under Administration fall within scope.

- **Security (Non-Functional)** – The Security capability focuses on the computer application and data security functions of the court. This includes creating logon IDs, assigning access rights to applications, the maintenance of security privileges, the removal of security privileges as needed, and monitoring access activities using security reports. Data and applications are secured from unauthorized access, and access is granted as needed to authorized individuals.

The security of cases, calendars, case notes, and other information is a major component of the integrity of the court functions. The need to securely and effectively

restrict access to sealed cases falls under the security umbrella. System users' ability to gain 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 includes activities associated with adding, updating, and deleting the laws enforced by the court (local and statewide). It provides for the review and interpretation of newly enacted statutes on penalty assessments for proper categorization in the law table; coordinates law data between JIS and the WSP, the Washington Association of Prosecuting Attorneys (WAPA) charging manual, and the Fish and Wildlife bail schedules; determines the class of offense for each law; and handles law data and effective begin-and-end dates.

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

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.

c. Administration

Capabilities conducted for managing and supporting a Court for carrying out its business mission. There are nine sub capabilities that fall under Administration. Security and Law Data Management functions are in scope and described above.

- **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 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 County 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.

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

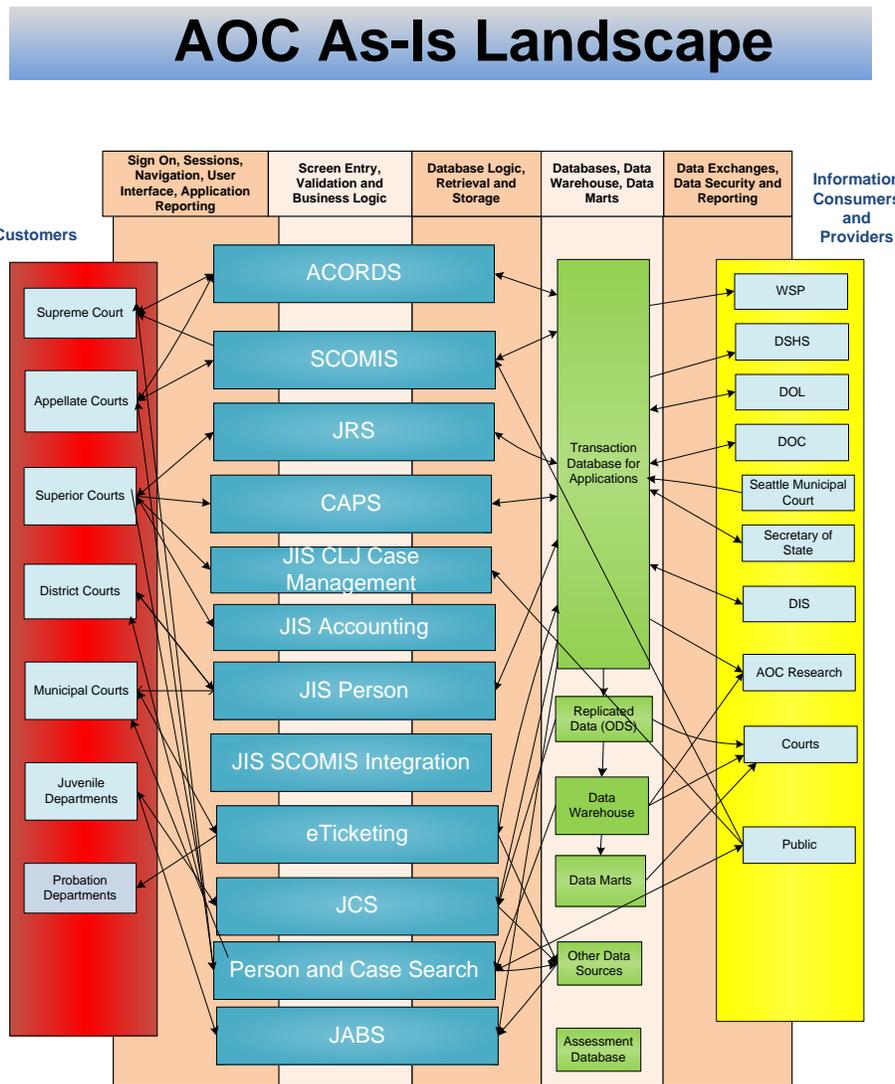
The AOC provides support services to state, county, and city courts throughout the state of Washington, including: the Supreme Court, Court of Appeals, superior courts, and Courts of Limited Jurisdiction (District and Municipal Courts). The AOC Server Environment consists of two platforms: (1) IBM Z10 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.

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)
<ul style="list-style-type: none"> Speed – 450 million instructions per second Applications – CICS 	<ul style="list-style-type: none"> 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.

- **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.

Appendix C – Stakeholder Matrix

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
SCJA	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Direction, functional support, coordination, communication, collaboration, political support
Individual Trial Courts	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	Money, training, systems, technical assistance, political support, best practices
DMCJA	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Direction, functional support, coordination, communication, collaboration, political support
Supreme Court	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Direct services (HR, budget, etc.), staffing, for AOC to be successful, leadership (statewide level), technical assistance (SME, etc.)
Court of Appeals	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Direct services (HR, budget, etc.), system level support, staffing
Legislature	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Information, cooperation, collaboration, communication, fiscal notes, credibility
Office of Financial Management (OFM)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Information
BJA	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External -----	Information, credibility, success, staffing support

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
	<input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	
WSP	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Data, cooperation
DOC	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Data, cooperation
DOL	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Data, cooperation
JISC	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Technical knowledge
Secretary of State	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Data, cooperation
Criminal Justice Training Commission	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	
Traffic Safety	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Information, cooperation, technical knowledge
County Clerks	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer	Information Services (IS) support, funding support

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
	<input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	
Court Management Council	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	IS support, funding support
Minority and Justice Commission	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Staff support
Gender and Justice Commission	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Staff support
Interpreter Commission	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Staff support, funding support
Office of Civil Legal Aid (OCLA)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Staff support (budget), information, political support
Office of Public Defense (OPD)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Staff support (budget), information, political support
Law Library	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	Budget support
Washington State Bar Association (WSBA)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner	Information, cooperation, political support

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
	<input type="checkbox"/> Other	
Access to Justice (ATJ)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Information, cooperation
DIS	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	
Department of Transportation (DOT)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Information
Association of Washington Superior Court Administrators (AWSCA)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	IS support, funding support
District and Municipal Court Management Association (DMCMA)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Direction, functional support, coordination, communication, collaboration, political support
Washington Association of Juvenile Court Administrators (WAJCA)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Direction, functional support, staff support, political support
JIS Link Customers	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	Access
Justice Reference Architecture (JRA)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Information, communication, collaboration

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
Washington State Institute for Public Policy (WSIPP)	<input type="checkbox"/> Internal <input type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Data, communication, collaboration
Board for Court Education (BCE)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Staff support, effective education program
Sentencing Guideline Commission	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Data, collaboration, political support
Commission on Judicial Conduct (CJC)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
Public	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	
WA State CASA	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Political support
Dispute Resolution Centers	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
Disability Advocacy Community	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Political support
Elder Advocacy	<input type="checkbox"/> Internal	Political support

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
Community	<input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
Guardian Board	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	
Codes Committee	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	IS support
AOC	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	
Washington Association of Sheriffs & Police Chiefs (WASPC)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
WAPA	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Collaboration, political support
Commission on Children in Foster Care	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Collaboration, communication, staff support
Prosecuting Attorneys	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Communication
Association of Washington Cities (AWC)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External	Communication, political support

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
	----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
Washington Supreme Court (WASC)	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Communication, political support
State Auditor	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
Treasurers	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Accurate reporting of revenue
Vendors	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Money
Governor's Office	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Political support, communication, non-interference
Grant Funding Authorities	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Effective projects
Columbia Legal Services	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Communication, information
Media	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External -----	Accurate reporting, political support, publicity

Stakeholder's Name	Type of Stakeholder	What does this stakeholder need from AOC?
	<input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	
Commerce	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Collaboration, information
DSHS	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input checked="" type="checkbox"/> Partner <input type="checkbox"/> Other	Collaboration, communication, data
Attorney General's Office	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input type="checkbox"/> Customer <input type="checkbox"/> Partner <input checked="" type="checkbox"/> Other	Communication, information
Interpreters	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	
Certified Professional Guardians	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External ----- <input checked="" type="checkbox"/> Customer <input type="checkbox"/> Partner <input type="checkbox"/> Other	

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

- 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

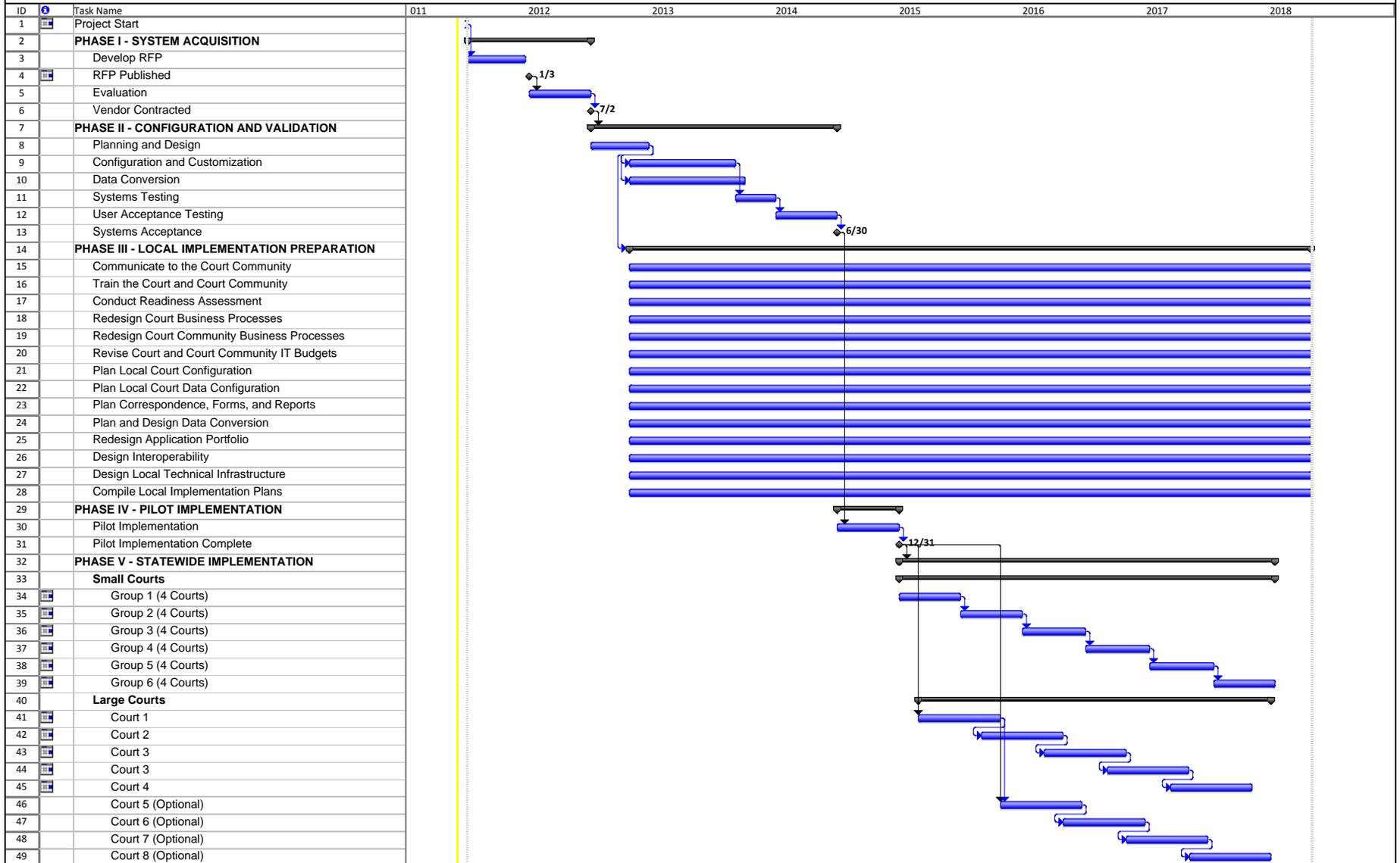
Appendix E – Critical Success Factors

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.

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. Complies with data governance policies.	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.

Appendix F – Commercial Project Work Plan and Schedule

COMMERCIAL PROJECT WORK PLAN AND SCHEDULE



Appendix G – Transfer LINX Work Plan and Schedule

WASHINGTON STATE ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

TRANSFER LINX WORK PLAN AND SCHEDULE

ID	Task Name	Duration	Start	Finish	010	2011	2012	2013	2014	2015	2016	2017	2018	2019
1	Project Start	1 day?	Fri 7/1/11	Fri 7/1/11										
2	PHASE I – SYSTEM ACQUISITION	180 days	Tue 9/6/11	Tue 5/22/12										
3	Design Organization	3 mons	Tue 9/6/11	ed 11/30/11										
4	Obtain Agreements and Funds Commitment	2 mons	Thu 12/1/11	Mon 1/30/12										
5	Procure Additional Resources	3 mons	Tue 1/31/12	Tue 4/24/12										
6	Deploy LINX/SC-CMS Organization	20 days	Wed 4/25/12	Tue 5/22/12										
7	PHASE II – CONFIGURATION AND VALIDATION	540 days	Wed 4/25/12	Thu 5/29/14										
8	Project Management	24 mons	Wed 4/25/12	Thu 3/6/14										
9	Planning and Design	192 days	Wed 4/25/12	Mon 1/28/13										
10	Business Integration	24 mons	Wed 4/25/12	Thu 3/6/14										
11	Application Preparation (Re-Platforming)	24 mons	Wed 4/25/12	Thu 3/6/14										
12	Data Preparation	24 mons	Wed 4/25/12	Thu 3/6/14										
13	Implement Technology Infrastructure	192 days	Wed 4/25/12	Mon 1/28/13										
14	Systems Integration Testing	24 mons	Wed 4/25/12	Thu 3/6/14										
15	User Acceptance Testing	24 mons	Wed 4/25/12	Thu 3/6/14										
16	Configure For Pilot	3 mons	Fri 3/7/14	Thu 5/29/14										
17	PHASE III – LOCAL IMPLEMENTATION PREPARATION	436 days	Fri 7/1/11	Fri 1/20/17										
18	Communicate to the Court Community	436 days	Fri 7/1/11	Fri 1/20/17										
19	Train the Court and Court Community	436 days	Fri 7/1/11	Fri 1/20/17										
20	Conduct Readiness Assessment	436 days	Fri 7/1/11	Fri 1/20/17										
21	Redesign Court Business Processes	436 days	Fri 7/1/11	Fri 1/20/17										
22	Redesign Court Community Business Processes	436 days	Fri 7/1/11	Fri 1/20/17										
23	Revise Court and Court Community IT Budgets	436 days	Fri 7/1/11	Fri 1/20/17										
24	Plan Local Court Configuration	436 days	Fri 7/1/11	Fri 1/20/17										
25	Plan Local Court Data Configuration	436 days	Fri 7/1/11	Fri 1/20/17										
26	Plan Correspondence, Forms, and Reports	436 days	Fri 7/1/11	Fri 1/20/17										
27	Plan and Design Data Conversion	436 days	Fri 7/1/11	Fri 1/20/17										
28	Redesign Application Portfolio	436 days	Fri 7/1/11	Fri 1/20/17										
29	Design Interoperability	436 days	Fri 7/1/11	Fri 1/20/17										
30	Design Local Technical Infrastructure	436 days	Fri 7/1/11	Fri 1/20/17										
31	Compile Local Implementation Plans	436 days	Fri 7/1/11	Fri 1/20/17										
32	PHASE IV – PILOT IMPLEMENTATION	132 days	Fri 5/30/14	Mon 12/1/14										
33	Pilot Implementation	132 days	Fri 5/30/14	Mon 12/1/14										
34	Pilot Implementation Complete	0 days	Mon 12/1/14	Mon 12/1/14										
35	PHASE V – STATEWIDE IMPLEMENTATION	793 days	Thu 1/1/15	Mon 1/15/18										
36	Small Courts	793 days	Thu 1/1/15	Mon 1/15/18										
37	Group 1 (Four Courts)	129 days	Thu 1/1/15	Tue 6/30/15										
38	Group 2 (Four Courts)	131 days	Wed 7/1/15	ed 12/30/15										
39	Group 3 (Four Courts)	133 days	Thu 12/31/15	Mon 7/4/16										
40	Group 4 (Four Courts)	135 days	Tue 7/5/16	Mon 1/9/17										
41	Group 5 (Four Courts)	136 days	Tue 1/10/17	Tue 7/18/17										
42	Group 6 (Three Districts)	129 days	Wed 7/19/17	Mon 1/15/18										
43	Large Courts	705 days	Thu 2/26/15	Wed 11/8/17										
44	Court 1	173 days	Thu 2/26/15	lon 10/26/15										
45	Court 2	173 days	Tue 9/1/15	Thu 4/28/16										
46	Court 3	173 days	Fri 3/4/16	Tue 11/1/16										
47	Court 3	173 days	Wed 9/7/16	Fri 5/5/17										
48	Court 4	173 days	Mon 3/13/17	Wed 11/8/17										
49	Court 5 (Optional)	173 days	Tue 10/27/15	Thu 6/23/16										
50	Court 6 (Optional)	173 days	Fri 4/29/16	Tue 12/27/16										
51	Court 7 (Optional)	173 days	Wed 11/2/16	Fri 6/30/17										

Appendix H – SCMFS Risk Scorecard

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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 them with 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 Information Networking Data Services (INDS) is in the planning phase but is 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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

RISK SCORECARD

NBR	Standard	Expectations	Risk Rating	Findings
63.	Supplied Components	The system components are available and are reasonably stable.	Low	Several software vendors offer court applications that are proven in other state court environments. The vendor applications provide the required 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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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 understand 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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

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.

WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS
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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.

