



# Washington State Administrative Office of the Courts

## Superior Court Management Feasibility Study

### Integration Evaluation

Version 1.5

Deliverable 7

**PSC 11291 Superior Court Management Feasibility Study Project**

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## Document History

Author	Version	Date	Comments
Robert Marlatt	1.0	4/25/2011	Initial draft.
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# I. Introduction

## A. Purpose

The Superior Court Management Feasibility Study (SCMFS) project is intended to provide the research and analysis needed to make informed decisions on which software applications would meet the business needs of the superior courts for managing case flow, calendaring, and other needed functions as defined by the SCMFS Executive Sponsor Committee (ESC) in support of judicial decision making and scheduling.

The Integration Evaluation is deliverable number 7 of the PCS 11062 SCMFS contract. This contract has been approved and signed by the Washington State Administrative Office of the Courts (AOC) and MTG Management Consultants, LLC, the vendor with which AOC has contracted to assist in the SCMFS project.

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

## B. Approach

AOC commissioned a feasibility study for improving superior court management information systems in Washington State. To prepare the feasibility study, MTG has assessed several alternatives, including a commercial application and a transfer application, based on Pierce County's Legal Information Network Exchange (LINX) system. This Integration Evaluation considers how AOC can integrate a new Superior Court Case Management System (SC-CMS), regardless of which application AOC selects, to support Washington superior court operations statewide.

The Integration Evaluation considers the decisions that must be addressed to allow the new application to fit within the existing and planned technology environment. This deliverable considers the business integration and the technology integration of the system.

## C. Scope

The scope of the integration evaluation is to provide a plan for AOC to deploy a SC-CMS computer application in the 32 superior court districts that operate in Washington State. To implement a new system, the AOC, the courts, and the 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 they embark on this significant change.

The ESC developed a definition of the functional scope of the desired application. APPENDIX A, Functional Scope, provides the scope for this project and describes the capabilities that will be available to the superior courts to support their business operations.

## D. Acronyms and Definitions

This subsection provides definitions for acronyms and terms used throughout the document.

Acronym or Term	Definition
ACCESS	Washington State Patrol Contemporary Crime Information System. This system contains current crime information, including warrants, restraining orders, stolen property, stolen vehicles, etc.
ACCORDS	Appellate Court Records and Data System – an AOC application that supports the appellate courts.
AOC	Washington State Administrative Office of the Courts.
API	Application Programming Interface – a program that shares information with another external system.
CBO	Courts Business Office.
CLJ	Courts of Limited Jurisdiction.
CMS	Case Management System.
COTS	Commercial Off-the-Shelf Software – commercial application software packages.
CPS	The Washington DSHS Child Protective Service Division.
DCS	The DSHS Division of Child Support.
DIS	Department of Information Services.
DOH	Department of Health.
DOL	Department of Licensing.
DOR	Washington Department of Revenue.
DSHS	Department of Social and Health Services.
EA	Information Services Division (ISD) Enterprise Architecture Unit.
ESC	Executive Sponsor Committee.
FBI	Federal Bureau of Investigation.
IBM	International Business Machines.
INDS	Information Networking Data Services – this contains the state-level court information and can access distributed judicial information.
INS	The United States Immigration and Naturalization Service.
ISD	Information Services Division.
IT	Information Technology.
ITIL	Information Technology Infrastructure Library.
JABS	Judicial Access Browser System – an application that provides a simplified view of criminal history and other offender profile information. It is available to all court levels and used typically by judicial officers and court staff. It provides a Web-based interface to allow court personnel to view cases and proceedings scheduled to be heard for a judge or a room for a day.
JCS	Juvenile and Corrections System – the Juvenile Court referral management tool used by the superior court juvenile departments.
JIS	Judicial Information System.
JIS Accounting	AOC Financial Accounting Application that support superior court financial transactions and reporting.

Acronym or Term	Definition
JIS LINK	The public Web portal that allows public access to court information. Case participants can access case-related information, schedules, and court information.
JIS Person	Court person information as well as other entities.
JISC	Judicial Information Systems Committee – the customer governance council for court information systems managed by AOC.
JSD	AOC Judicial Services Division.
L&I	Washington Department of Labor and Industry.
LEA	Law Enforcement Agency.
LINX	Legal Information Network Exchange, Pierce County's information system.
MDE	Major Design Elements.
MDM	Master Data Model.
MS	Microsoft.
MSD	AOC Management Services Division.
NCSC	National Center for State Courts.
NICS	The National Instant Criminal Background Check System, operated by the FBI.
NIEM	National Information Exchange Model.
PA	County Prosecuting Attorney Office.
RALJ	Rules for Appeal of Decisions of Courts of Limited Jurisdiction (CLJs).
RCW	Revised Code of Washington.
RFP	Request for Proposal.
SC-CMS	Superior Court Case Management System (new application).
SCJA	Superior Court Judges Association
SCMFS	Superior Court Management Feasibility Study.
SCOMIS	Superior Court Management Information System – supports Washington state superior court business operations.
SOS	Washington Secretary of State.
SQA	Software Quality Assurance.
UDM	Unified Data Model.
WSBA	Washington State Bar Association.
WSIC	Washington Securities and Investment Corporation.
WSP	Washington State Patrol.
WSSR	Washington State Support Registry.

## **E. Assumptions**

This subsection provides assumptions that are applicable to the integration evaluation.

- The AOC will establish Information Networking Data Services (INDS), a component of the Information Networking Hub. The INDS will include statewide data stores as well as the ability to access data from other AOC databases. APPENDIX C contains the design of the AOC Future State Logical Architecture, including the Information Networking Hub.
- SC-CMS will not provide the functions slated to be offered by the Information Networking Hub. This includes managing state-level court information. However, SC-CMS will provide data exchanges to the INDS, as that component of the Information Networking Hub provides those services.
- SC-CMS will provide event-driven data exchanges that will update the INDS and consume statewide case and information entity data.
- The LINX and commercial case management system (CMS) alternative approaches will operate under the same interoperability architecture.
- The design and planning assumptions include the expectation that the SC-CMS will integrate with the Information Networking Hub, as designed by AOC.

## II. Alternatives

The Requirements Gap Analysis<sup>1</sup> established the alternatives to be considered for the SCMFS and compared the stated needs of the superior courts for case flow management, calendaring, and select case management functions against the three identified alternatives. This section provides a description of each alternative, along with the recommendation from the Gap Analysis.

### A. Alternative 1 – Pierce County LINX

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

LINX provides highly successful records management and operational support for several law enforcement and justice organizations in Pierce County. Through its operations in Pierce County, LINX has proven its ability to effectively meet the operational requirements of a superior court. LINX uses an integrated architecture made up of a series of core applications, shared functions, and shared data. The county is currently in a multiyear effort to transition this application to a new architecture.

Under this alternative, the LINX transition efforts would be dramatically accelerated with the financial support of the AOC. Pierce County would lead the development and maintenance efforts through a consortium involving the AOC and, potentially, other organizations. This consortium would create the new version of LINX, ready for statewide configuration, by January 2014. The AOC would assume responsibility for implementation of LINX in the superior courts and day-to-day support of the courts' implementations of LINX. The exception to this responsibility would be in Pierce County, where the county's IT organization would support LINX as it does today.

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

The second alternative is to employ a commercially available calendaring, scheduling, and case flow management application. This type of application is built specifically for calendaring, scheduling, and case flow management in courts. Very few solutions offer this specific scope of functionality required by courts.

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

### C. Alternative 3 – Commercial CMS

The third alternative is to employ a commercially available CMS. The court systems market offers well over a dozen systems that provide broad case management functions. Of that

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<sup>1</sup> See Superior Court Management System Gap Analysis, Deliverable Number 5.

number, approximately a half dozen solution providers may be considered capable of supplying both the scope of functionality and the scale of implementation services necessary to install and support a system in the superior courts.

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

Case Types	Major Functions	
<ul style="list-style-type: none"> <li>• Civil</li> <li>• Criminal</li> <li>• Juvenile</li> <li>• Domestic Relations</li> <li>• Traffic</li> <li>• Judgment</li> </ul>	<ul style="list-style-type: none"> <li>• Case Initiation and Indexing</li> <li>• Docketing and Related Recordkeeping</li> <li>• Hearings</li> <li>• Disposition</li> <li>• Execution</li> <li>• Case Closure</li> <li>• Scheduling</li> </ul>	<ul style="list-style-type: none"> <li>• Calendaring</li> <li>• Financial</li> <li>• Document Generation and Processing</li> <li>• Management and Statistical Reports</li> <li>• File and Property Management</li> <li>• Security</li> </ul>
Data Groups		

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

Acquisition of a commercial software product will require issuing an RFP and conducting a competitive procurement process. This process will be contingent upon funding and the availability of solutions in the market that can meet the needs of the superior courts. The product that will ultimately be selected must meet the business needs of the superior courts as well as the data needs and architectural constraints of the AOC as effectively as possible within the allocated budget.

## D. Recommendation

The Requirements Gap Analysis recommended the commercial CMS option. In general, the rationale for this recommendation was that the commercial CMS alternative provides a greater degree of alignment with Judicial Information Systems Committee (JISC) strategies as defined in the IT strategic plan. The following subsections describe the major points of the rationale for this recommendation.

## **1. Need for Custom Application Development**

Of the three alternatives considered in the Requirements Gap Analysis, the commercial alternatives require much less application development than the LINX alternative. For the LINX alternative, development would entail:

- The creation of new architectural and system development constructs for:
  - The new open-source platform.
  - The LINX alternative's operation as a superior court application (without requiring court partners to also use LINX).
  - The configuration for, deployment in, and support of multiple jurisdictions.
- The creation of sufficient documentation from the existing system to transfer current functionality.
- Factoring in new superior court functional and technical requirements recently gathered by the AOC.

It is anticipated that this would entail about 40,000 hours of development effort. The level of development required for bridging the gaps for either the CMS or the limited scope calendaring, scheduling, and case flow management application is comparable at 8,000 to 9,000 hours.

## **2. Application Development, Deployment, and Support Organization**

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

## **3. Alignment With Future State Technology Architecture**

Of the three alternatives considered, the commercial alternatives available today most closely align with the enterprise architecture. The majority of commercial CMS providers that responded to the survey currently utilize technologies that align well with the AOC Future State Technology Architecture. This community of providers has experience working collaboratively with courts and state court systems using similar architectures for implementing their products. The respondents who did not support the AOC Information Networking Hub were primarily noncompliant in the database area, and a minority of providers uses Oracle exclusively. While the architectural approach does reduce the number of compliant solutions, the reduction in numbers is not significant enough to affect the market's ability to deliver a fully functional solution.

## **4. Application Ownership and Evolution**

Any commercial solution that the JISC chooses will have an already-established support and development organization in place to ensure that the application remains viable and improves over time. Over the long term, commercial vendors are focused on and prepared to serve court organizations such as the Washington courts and the AOC. Several of these providers have well-established organizations, resources, and methods for providing this support. In addition, the future of these organizations is focused on the court market and is aligned with the operational agendas of their court customers. While the AOC will not have direct ownership of a

commercial product, and the product's evolution may be subject to influence by the vendor's business plan or other customers, it is likely that the superior courts will be among any vendor's largest customers and can expect a corresponding level of influence on the product's direction.

## **E. Implications for Integration**

The Gap Analysis provided insights regarding the capabilities and viability of the leading alternatives.

- None of the proposed applications will replace the current JIS data structure as the statewide repository of court data. The new AOC Information Networking Hub –INDS will contain the services necessary to support event-driven data exchanges and batch interfaces with the courts' state and local external partners.
- The LINX and commercial CMS alternatives are materially similar in their statewide integration. Both approaches will:
  - Publish every event to the INDS using SC-CMS information exchanges that will send and receive event-specific data-to-data exchanges established for the INDS.
  - Leverage the AOC INDS to exchange information with statewide entities using the Migration Services.
- A commercial CMS is positioned to publish and consume data in cooperation with local court systems via the AOC INDS.
- LINX is designed to integrate with local jurisdictions using a shared data structure and application architecture. However, if it publishes and consumes data with locals, this will occur using the AOC INDS through the Information Exchange Broker.

### III. Integration Requirements

SC-CMS will be implemented into a statewide court infrastructure as one of a number of IT assets, which must interoperate to:

- Provide economies of scale in IT management.
- Provide efficiencies to the court personnel in statewide information sharing.
- Provide flexibility to allow local courts to access statewide and local court data.

SC-CMS will be implemented into a local court's IT portfolio (where applicable) and integrated with local applications internal and external to the courts. Some local application such as eFiling or document management may provide data to the SC-CMS. The SC-CMS application will both provide and consume data contained in the INDS.

Some of these integration points are part of the baseline level of integration required of any CMS. Capabilities in place today provide interfaces to the courts' external partners. Some integration points will be enhancements that provide economies that have not yet been realized. This section discusses both the baseline and enhanced integration requirements associated with implementing a new SC-CMS application.

AOC provides access to state-level court information that individual courts produce and consume. State-level court information is common data collected or produced by any court that is of interest to other courts within the state. AOC is responsible for providing courts throughout the state with the capability to access state-level court information. For example, information about a person named as a defendant in a case in one county should be captured to inform other counties that may be working with the same person in other cases.

Three scenarios may need support during the implementation of the SC-CMS application. First, the superior courts may perform all business functions using the SC-CMS application. Second, superior courts may use business functions from both existing JIS applications and the new SC-CMS application. Third, some courts may implement the SC-CMS application, while other courts will continue to use the existing JIS application until they migrate to the new SC-CMS application as well.

#### A. Baseline Integration Requirements

The SC-CMS will be implemented into the two application environments: the AOC's Information Networking Hub and the local application architecture of the superior court and its court community. In addition, SC-CMS has the potential to replace the court case management functions of SCOMIS.

This situation creates a series of baseline integration requirements for SC-CMS. These are:

- Providing the INDS state-level court information.
- Maintaining existing statewide interfaces and interoperability.
- Maintaining existing local interfaces and interoperability.
- Interoperating with the proposed AOC Information Networking Hub.

This section provides an overview of each of these major baseline integration requirements.

##### 1. Information Networking Hub

The proposed SC-CMS application will perform the case management, docketing, calendaring and scheduling functions, as well as the other functions defined in the scope. (See APPENDIX A.) The system is intended to be a fully functional application, supporting the business operations of Washington superior courts. The SC-CMS will support the operational

needs of judges, court administrators, and county clerks, as well as provide other court participants with access to case and docket information through an AOC Web portal.

The SC-CMS application is expected to provide local courts the same and some additional capabilities as compared to those available in the current AOC SCOMIS/JIS application. When all courts have migrated to the new SC-CMS application or established data exchanges to support their own applications, the SCOMIS application may be decommissioned.

AOC is developing an Information Networking Hub that will store and provide access to unified data. The Information Networking Hub may replace the existing JIS database as the statewide repository of court information. The SC-CMS application will send and receive court data to/from the INDS through standard interfaces using the Information Exchange Broker. For example, the SC-CMS will query the INDS to identify other court cases around the state in which a person may be participating. The SC-CMS will send case-related data to the Information Networking Hub upon case initiation and throughout the judicial process.

The SC-CMS application will interoperate with the AOC INDS and Information Exchange Broker to access a “well-identified” person index and maintain the statewide index of court cases. The SC-CMS will not provide the statewide index of court cases that SCOMIS/JIS provides. The SC-CMS will exchange data with the Information Networking Hub, which must maintain the statewide index of court cases and related case information.

Most data interfaces will query the Information Networking Hub to extract, transform, and send interface event and aggregate batch data. The SC-CMS application will use these central services for sharing and retrieving court data.

The Information Networking Hub will provide common business services that applications such as SC-CMS can call to provide or access state-level court information. The business services will be standard, have specific parameters, perform planned actions, and produce specific responses. The menu of services will support common business transactions to retrieve and maintain state-level court information; support common interfaces; and query state-level court information, warehoused data, and other operational data. Court systems will access all of the Information Networking Hub’s many capabilities through these defined business services.

## **2. Statewide Interfaces and Interoperability**

AOC currently supports several point-to-point interfaces with internal court applications and external partners. The data entered into the AOC SCOMIS/JIS application updates the JIS database. AOC programs initiate interface programs that extract data from the JIS database, format the data, and place it into the appropriate interface media. Interfaces are typically batch-formatted files containing multiple records corresponding to a given period (i.e., daily, weekly, or monthly data).

The SC-CMS may have to continue to support the inbound and outbound interfaces to hold the partner organization harmless in the transition to SC-CMS. Once the AOC Information Networking Hub is implemented, the interfaces should be transferred from the SC-CMS application to the AOC Information Networking Hub.

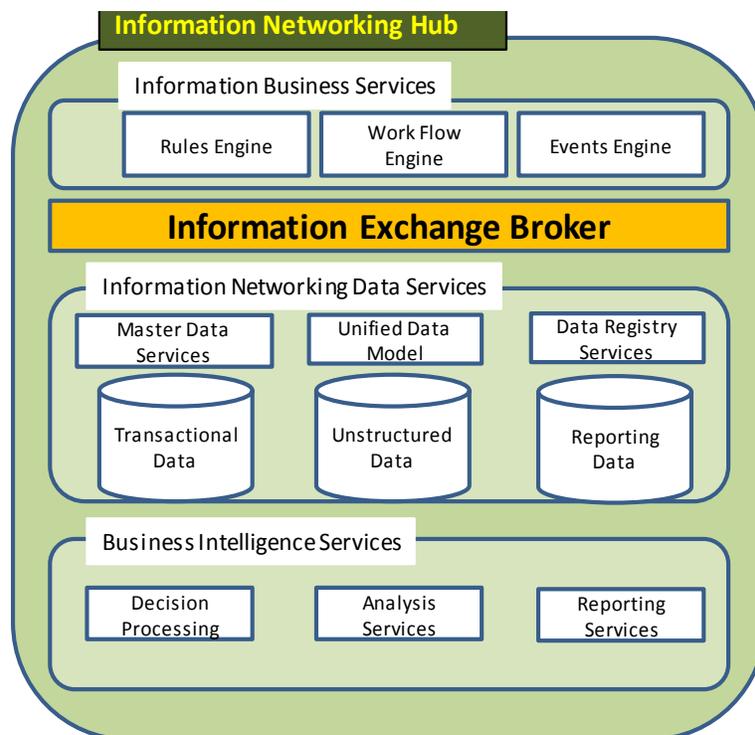
## **3. Local Interfaces and Interoperability**

Some courts have implemented their own court applications. They have worked with AOC to develop interfaces between their CMSs and court applications that are used by the court or county clerk. These interfaces occur in a variety of forms, including screen data interception, daily FTP feeds, and some point-to-point interfaces.

#### 4. AOC Information Networking Hub

The Information Networking Hub is shown in APPENDIX C. This diagram shows the design of the AOC architecture that will provide the INDS state-level court information and the data exchanges with local, state, and other external partners. The Information Networking Hub is described in the AOC Architectural White Paper No. 2010-001, Foundation for Modern Judicial Information Systems in Washington State.

The Information Exchange Broker physically manages the data exchanges between the INDS and external AOC and partner systems. The INDS includes the state-level court information and may also include the statewide data warehouse. The Information Networking Hub binds together the various application components (both existing and targeted) by providing centralized data management as well as the infrastructure and services to support a fully integrated environment. The major components are the Information Business Services, the Information Exchange Broker, the INDS, and Business Intelligence Services.



The Information Exchange Broker is the backbone of the Information Networking Hub. It performs the heavy lifting work by managing messages, routing, orchestration, and transformations.

The key concept behind information networking is that information is sent to a state-level court repository where it is immediately incorporated into that repository. Once in the state-level court repository, the information is immediately available to those to whom access has been granted. The Unified Data Model provides the master definition for data. It is used so that any application database can be translated to any other application database. The data model will also be the one used to communicate with external organizations and will follow the National Information Exchange Model (NIEM) standards. The central repository contains three primary data stores: transaction data (combined data from all applications), unstructured data (documents, images, etc.), and reporting data (data for decision-making and references to data in other locations). The Information Networking Hub will also be used to register data that is

actually stored outside of the central repository. This will be used so that information owned by other organizations does not have to be duplicated within the central repository.

The SC-CMS application operates outside the AOC Information Networking Hub. It has its own database and applications programs. However, the SC-CMS provides and consumes data from the Information Networking Hub through standard data exchanges. The SC-CMS application interoperates with the AOC Security Services and transport Methods and takes advantage of the AOC Access Points, which are included in the AOC future state architecture plan. This enables standard and consistent application of security, enables common information transport methods (i.e., web, voice, wireless), and supports new and emerging access points such as smart phones, lap top computers, digital cameras, and telephones.

To accomplish this interoperability, AOC must:

- **Establish Linkage Between the INDS and SC-CMS** – Establish the information exchanges between the new SC-CMS application and the INDS following the Unified Data Model (UDM) and Master Data Model (MDM) and standards using the Information Exchange Broker and the INDS.
- **Integrate with Enterprise Security Services** – The solution provider will implement the system following the security standards and procedures provided by AOC. This includes identity, authentication, and access management services.
- **Implement Changes Needed for Statewide Operating Reporting** – AOC Information Services Division (ISD) and the solution provider will establish the capability to capture statewide operational data and metrics to support the superior court statistical and other reporting services that AOC provides today.
- **Implement Changes Needed for Web Portal** – AOC ISD and the solution provider will establish the public portal for case participants (i.e., attorney, defendants, litigants, etc.) to gain access to superior court information, either from the INDS or the SC-CMS database.

## B. Enhanced Integration Requirements

The AOC has worked with subject matter experts from courts and County Clerk's offices in an extensive effort to define requirements and business processes for calendaring, scheduling, and case management. This effort has also identified new interfaces that are needed to automate information sharing to and from the superior courts.

APPENDIX B, Functional Requirements Information Exchanges, contains a list of requirements that includes information exchanges with case participants and other entities in the judicial process. Most exchanges are in the form of various court documents. Some are electronic data exchanges. These requirements define the necessary information exchanges that will need to occur to support the business requirements.

In addition, there is a possibility that a court would choose to employ SCOMIS for record keeping and employ SC-CMS exclusively for calendaring, scheduling, and case flow management. This creates a requirement for three major interfaces:

- **Case Initiation Information** – In this scenario, courts would continue to use SCOMIS to initiate a case. The new case information would be posted to the JIS database. Court staff would initiate that case in SC-CMS by entering the SCOMIS-generated case number. The SC-CMS application would need to be able to query the JIS data structures for the case, event, and party information necessary to start calendaring, scheduling, and case management.
- **SC-CMS-Generated Docket Information** – In this scenario, SC-CMS would be used to perform calendaring, scheduling, and case management. Actions taken in SC-CMS may

involve events that the County Clerk wishes to record in JIS data structures and access (view) via SCOMIS. The SC-CMS must be able to publish information about these events, and this information must in turn be recorded in JIS data structures or be accessible through SCOMIS.

- **SCOMIS-Generated Case Management Data** – In this scenario, the SC-CMS would need to access records in the JIS data structures that contain information about case management events.

These interfaces would support an implementation of SC-CMS that meets the limited scope outlined in the original request from the Superior Court Judges Association (SCJA). However, it is likely that implementation of all the features available in the SC-CMS would eliminate the need to use SCOMIS. This would likely be in the best interest of the courts.

## C. Standard Information Exchanges

The baseline and enhanced integration requirements combine to require that SC-CMS publish data about essentially all events recorded in this new application. In addition, the court can realize economies if inbound data is received electronically, reviewed by the county clerk or court staff, and committed to the SC-CMS database. If these interfaces are created in a bespoke manner, based on custom requirements, designs, and specifications developed for each interface request, the cost and time to implementation of these interfaces would be prohibitive. This is a barrier to interoperability for large and small courts alike.

The AOC and the solution provider should lower this barrier by creating and publishing a limited but robust set of standard, open Web services to address these exchanges. These exchanges should be exposed, discovered, employed, and managed under the Information Business Services components of the Information Networking Hub as described in the following section.

These standard Web services can be categorized as those that are part of a filing to the court and will be addressed through eFiling and other data submitted to or published by the court. The following is the list of potential standardized information Web services from the latter group:

- **Booking** – An inbound transaction notifying the court of individuals admitted into a confinement facility and requiring a hearing.<sup>2</sup>
- **Reports and Notices to the Court** – Inbound interfaces with information for the court in a matter. These may include:
  - Arrest reports.
  - Reports of service.
  - Results of and progress reports for court-ordered treatment or other services.
  - Notice of capture, detention, escape, or release.
- **Scheduled Appearances** – An outbound transaction from the court to a local detention facility identifying the individuals from a detention facility that are to appear in court.
- **Event Notification** – An outbound transaction that provides notification of an event that has been recorded in a case, including failure to appear and summary of proceedings.
- **Order Detail** – A series of outbound transactions that provide electronic artifacts that represent an order by the court. These may include:
  - Orders to agents of the courts, including presentence investigation orders
  - Warrants issued and recalled, including:

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<sup>2</sup> This transaction would be one source of the SID for criminal matters before the court.

- Search warrants (sealed until they have been served and the proof of services has been filed.)
- Arrest warrants
- Bench warrants
- Summons
- Protection orders issued and terminated
- Detainers (including Authorization to Continue Detention)
- Remand orders
- Diversion orders
- Dismissals
- Release orders (including Personal Recognizance Bond)
- Sentences and modifications to sentences
- Order to vacate conviction
- Civil summary judgments
- Domestic judgments
- Child support orders
- Mental health orders (14-, 90-, 180-day and less restrictive alternative orders)
- **Judgments** – A series of outbound transactions that provide electronic artifacts that represent a finding of fact by the court. These may include:
  - Acquittals
  - Convictions
- **Victim Notification** – An outbound interface providing information about court schedules and events to support notification of victims in a criminal matter.
- **Scheduled Event** – A bidirectional interface with calendar information including, event, location, participants, and resources. This would support notification of hearing/trial dates and postponements, court dockets, and scheduling requests.
- **Case Detail** – An outbound transaction providing all or a subset of the records filed for a case, with the current status.

Approximately half of these transactions address interfaces currently in place for one or more current CMS implementations. In addition, this list of standard information Web services will be augmented by a well-defined set of eFiling capabilities. These capabilities would leverage standard Web services, including:

- **Initial and Subsequent Civil Filings** – These address a broad spectrum of general filings in civil cases.
- **Criminal Charging Documents** – An inbound interface for documents that are filed with the court to initiate a criminal case.
- **Requests and Petitions** – These are requests made to the court, including but not limited to:
  - Applications for protection orders.
  - Motions.
- **Affidavits** – An inbound interface with a sworn and authenticated statement of fact. This will likely include a document image and metadata about that document. Examples include affidavits for:
  - Arrest warrants.
  - Search warrants.
  - Summonses.

- Violation of probations.

Efiling and the other standardized information Web services greatly expand the information that can be automatically shared between the courts and their constituents. In fact, this set of standard interfaces will be developed to support all administrative interaction between the courts and their partners and customers.<sup>3</sup>

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<sup>3</sup> It is anticipated that while the standardized information Web services exceed the currently anticipated needs, some additional standard services will be developed and published over the years.



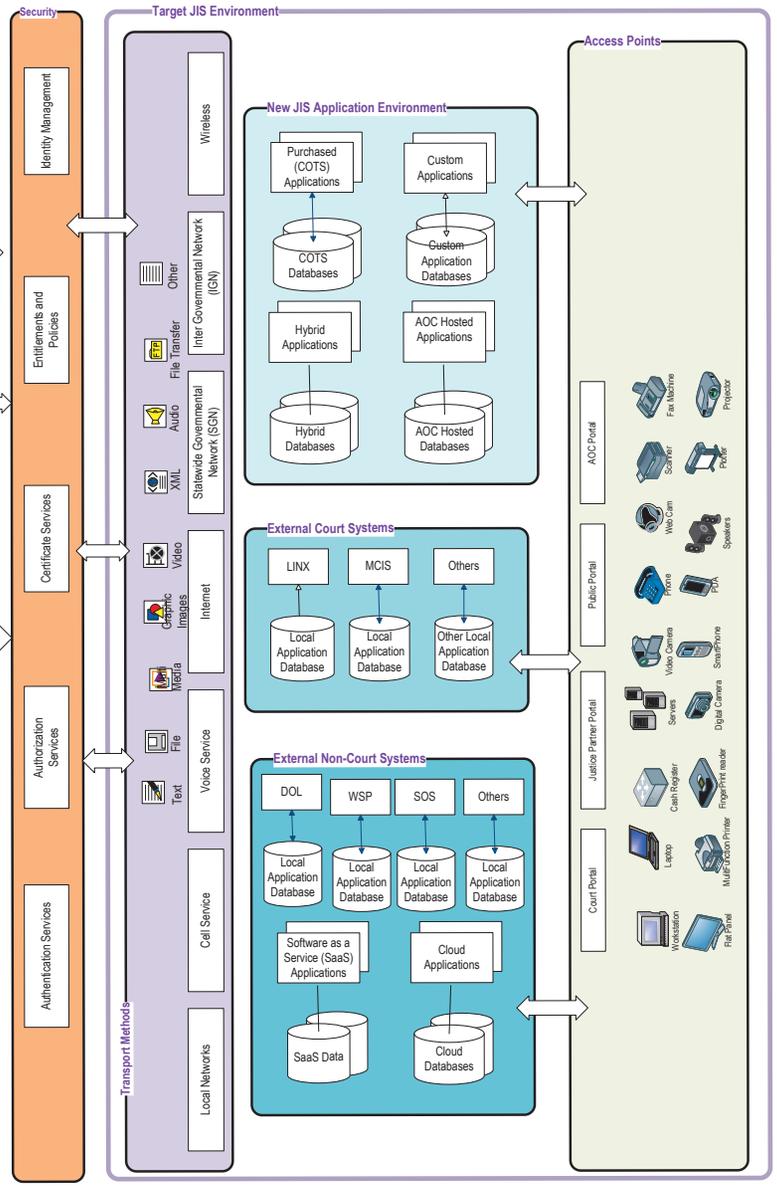
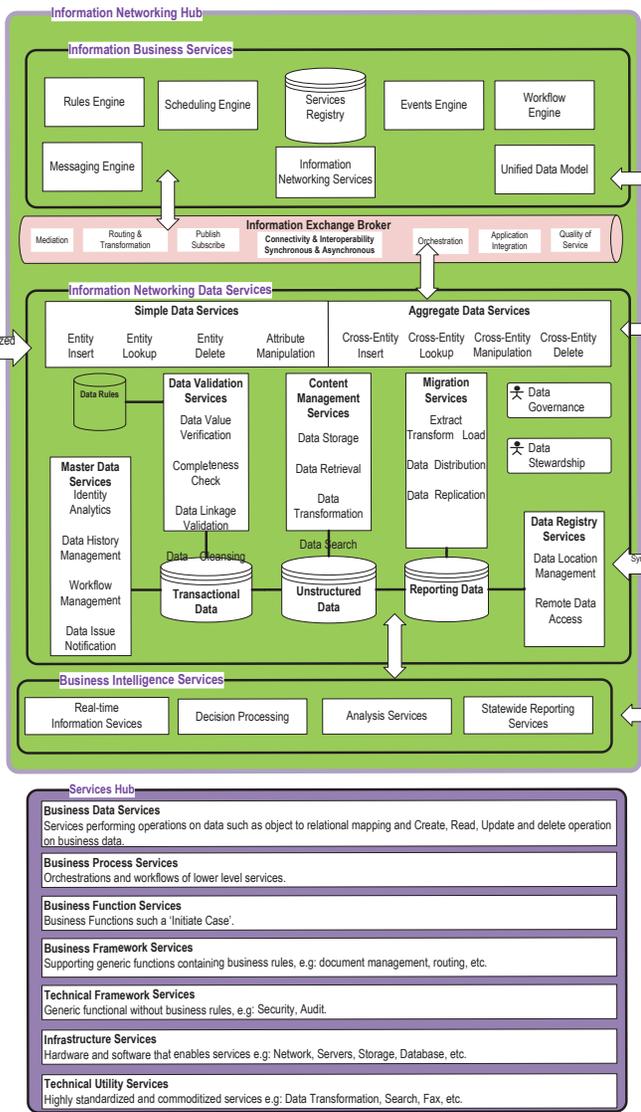
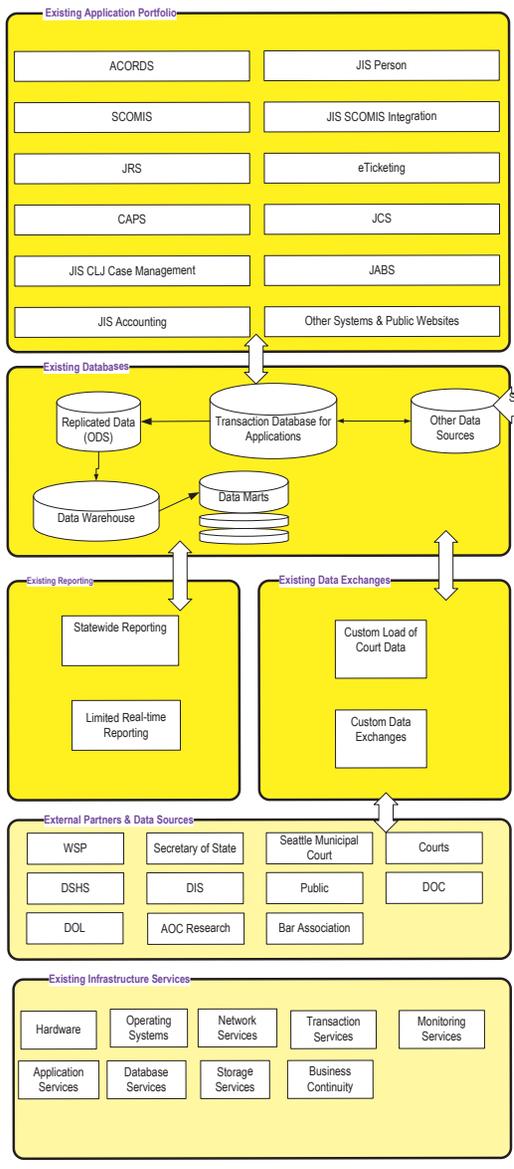
## IV. Integration Solutions

The SC-CMS will become one of the new applications in the target JIS Environment, which in turn will become a component of the Washington State Judicial Information Systems, Future State Logical Architecture shown in EXHIBIT I, on the following page. SC-CMS will be one of the applications identified in the New JIS Application Environment. This environment is highlighted in light blue on the upper right side of that diagram.

This diagram helps describe the planned points of integration used by the SC-CMS to share information with state, local, and private sector organizations. These integration points include both direct SC-CMS integration points and other AOC integration points.



WASHINGTON STATE JUDICIAL INFORMATION SYSTEMS  
 FUTURE STATE LOGICAL ARCHITECTURE



Existing World

Future - Foundational Elements

Security

Future - New Apps - COTS & Custom



## A. SC-CMS Integration Points

Based on the AOC’s planned enterprise architecture, the SC-CMS will directly leverage several key integration points of the Information Networking Hub. The following table refers to EXHIBIT I and describes integration points the SC-CMS application will employ. It shows the design/development/implementation status of each point of integration. In addition, the table describes the likely modification required of the application acquired for the SC-CMS.

No.	Integration Point/ Description	Status	Product Change
1.	<p><b>Enterprise Security</b></p> <p>The SC-CMS will interact with the AOC enterprise security facility to provide secure identity management, authentication, authorization, entitlements/policies, and certificate services that manage access to the SC-CMS application and other AOC services. This enables single sign-on and consistent security across AOC applications and services.</p>	Modification	The security mechanisms of the application used for the SC-CMS will need to employ the AOC’s enterprise security mechanisms.
2.	<p><b>Information Business Services</b></p> <p>The SC-CMS will be configured or customized to expose services for producing information, consuming information, and providing analysis through the Information Business Services component of the AOC Information Networking Hub. This component will expose these services through a common registry and invoke service rules, messaging, scheduling, events, and work flow engines. This will be a vehicle for publishing, discovering, and invoking the SC-CMS standard Web services.</p>	New	<p>The AOC will need to build and prove out the Information Business Services components of its Information Networking Hub.</p> <p>The SC-CMS application will need to produce and consume services. It is most likely that the leading applications will already have this capability.</p>
3.	<p><b>Information Exchange Broker</b></p> <p>The application will employ the Information Exchange Broker to route, transform, orchestrate, integrate, and mediate information sharing between the SC-CMS and other applications, both internal and external to the court and the AOC. This will address both synchronous and asynchronous interoperability.</p>	Modification	<p>The AOC will expand the use and capabilities of its existing Information Exchange Broker to provide the services specified in the AOC Information Networking Hub.</p> <p>The SC-CMS will employ the Information Exchange Broker for all information sharing between the SC-CMS and other applications: local, statewide, and beyond state and local government; and both internal and external to the court and the AOC.</p>
4.	<p><b>INDS:</b></p> <p>Assuming that the AOC creates the INDS component of the Information Networking Hub, including the UDM, MDM, state-level court information, and</p>	New	<p>The AOC will establish the INDS services of the Information Networking Hub, including the UDM, MDM, and data registry services.</p> <p>The SC-CMS application will be</p>

No.	Integration Point/ Description	Status	Product Change
	<p>data registry services, the AOC and solution provider will establish the information exchanges between the new SC-CMS application and the Information Networking Hub, following the UDM and MDM models and standards and using the Information Exchange Broker. This will enable SC-CMS to supply information to the Information Networking Hub as each event is recorded in the application. In addition, it will provide statewide and cross-application tables (e.g., law tables) to be kept up to date in SC-CMS using automatic updates from the Information Networking Hub.</p>		<p>configured/modified to publish data about every event recorded in the SC-CMS. This information will be available to courts using SCOMIS.</p> <p>In order to support courts that continue to employ SCOMIS along with SC-CMS, SC-CMS will be configured/modified to initiate a case by gathering and using case and party information previously entered in SCOMIS. In addition, SC-CMS will gather and use new event information entered in SCOMIS as needed for case management functions.</p>
5.	<p><b>Business Intelligence Services</b></p> <p>The SC-CMS will not contain statewide case data and will not hold all the data currently contained in JIS for all the years of operation by SCOMIS. The SC-CMS will employ Business Intelligence Services, which are part of the Information Networking Hub, to provide access to statewide data and to data recorded prior to the implementation of SC-CMS.</p>	Modification	<p>The AOC will transform existing business intelligence resources into the new AOC Information Networking Hub.</p> <p>The SC-CMS application will be configured/modified to provide access to these services.</p>

## B. Other AOC Integration Points

The fundamental point of the AOC service-oriented architecture is to support better, more standardized integration of AOC assets. Through the transitions of implementing the SC-CMS application to support courts statewide and the eventual retirement of current JIS applications, several current AOC services will need to be integrated. The table below identifies points of integration not directly connected to the SC-CMS application, yet critical to superior court business operation continuity.

No.	Integration Point/ Description	Status	Product Change
1.	<p><b>Integration between the JIS Database and the INDS</b></p> <p>The JIS database is an integrated database supporting many AOC applications. Assuming that the AOC has created the INDS within the Information Networking Hub, information must be shared between the JIS database and the Information Networking Hub.</p>	New	<p>Mechanisms must be developed to synchronize data between the JIS data structures and the INDS.</p> <p>The following applications will need to be integrated with the INDS:</p> <ul style="list-style-type: none"> <li>• Appellate Court Records and Data System (ACCORDS).</li> <li>• SCOMIS.</li> <li>• JIS PERSON.</li> <li>• JIS SCOMIS INTEGRATION.</li> <li>• JSC.</li> <li>• Judicial Access Browser System (JABS).</li> <li>• JIS ACCOUNTING.</li> </ul>
2.	<p><b>Exchanges between SC-CMS and the JIS Database</b></p> <p>As noted above, the JIS database is an integrated database supporting many AOC applications. In the event that the AOC does not create the Information Networking Hub by the time SC-CMS is in Phase II, Configuration and Validation, event-driven information exchanges will be developed between the SC-CMS and the JIS database.</p>	New (If Needed)	<p>The solution provider will develop APIs to connect the SC-CMS services that publish data about all the events recorded in SC-CMS to the Information Networking Hub.</p>
3.	<p><b>Existing Reporting from Existing Data Bases</b></p> <p>These components of the AOC Future State Logical Architecture are shown in yellow on the lower left hand side of EXHIBIT I. Given that the events recorded in SC-CMS will be used to update the JIS transactional database (directly or through the Information Networking Hub), existing reports will continue to be available via the existing reporting mechanisms.</p>	Ready to Use/ Currently in Operation	<p>As noted above, the SC-CMS application will be configured/modified to publish data about every event recorded in the SC-CMS.</p>
4.	<p><b>Existing Data Exchanges from Existing Data Bases</b></p> <p>These components of the AOC Future State Logical Architecture are also shown in yellow on the lower left hand side of EXHIBIT I. As with integration point 3 above, the events recorded in SC-CMS will be used to update the JIS transactional database (directly or through the Information Networking Hub). Existing data exchanges will continue to operate, publishing data to Statewide External Partners and Data Stores.</p>	Ready to Use/ Currently in Operation	<p>As noted above, the SC-CMS application will be configured/modified to publish data about every event recorded in the SC-CMS.</p>

No.	Integration Point/ Description	Status	Product Change
5.	<b>Superior Court Data Exchange</b> AOC is developing an interface with the Pierce County LINX application to enable it to exchange information with the SCOMIS application and JIS database.	In Development	N/A

## **V. Interfaces**

Previous sections outlined the interface requirements related to SC-CMS and the means for providing these interfaces. This section looks at interfaces from a perspective of transition from the existing processes, applications, and interfaces to new interfaces.

### **A. Dependencies on Existing Systems and Data Interfaces**

The SCOMIS and JIS applications and data structures provide a number of important statewide and local interfaces. Local courts will continue to rely on these interfaces until they have migrated to the new SC-CMS application. In addition, these interfaces may continue to be employed while the AOC develops its Information Networking Hub facilities and services. Once both conditions are met (local court migration and establishment of the Information Networking Hub), these existing interfaces may be retired.

In this transition, the AOC may be called on to hold the partner harmless with regard to the design and operation of the interface. The Information Networking Hub facilities should be configured to accommodate the existing partner interfaces in the event that a partner does not have the resources to modify its applications to employ new interfaces.

### **B. Ready-to-Use Interfaces to Existing System and Data Interfaces**

As noted above, existing interfaces will continue to operate until all courts migrate to the SC-CMS or adopt information data exchanges that the Information Networking Hub provides. There are no requirements or plans to employ other ready-to-use interfaces.

### **C. New Interfaces That Will Be Needed to Support Existing System and Data Interfaces**

Section III described the new interfaces required to support SC-CMS. Section IV described how this would be accomplished using the AOC's Information Networking Hub. The INDS – Migration Services are assumed to provide court statewide interfaces. These will need to be developed, as they do not exist today. AOC ISD will extract data from the state-level court information, transform it into the appropriate data format and medium, and distribute the data to the appropriate external organization through prearranged data exchange channels. Data extracted from the INDS will have an expanded scope from that contained in the SC-CMS, since it contains data contributed from other systems (AOC, local court systems, and external systems).

The SC-CMS application may also need to produce some reports and data files that may be sent to external organizations. These data exchanges will be limited by the scope of the SC-CMS database. However, transactional data (i.e., Daily Protection, No Contact, Anti-Harassment, Dissolution, or domestic violence related orders) may be generated from the SC-CMS application.

AOC is planning a project to develop a data exchange migration strategy. It will identify the interfaces and determine where each interface should occur. To leverage the Information Networking Hub, most interfaces should occur within the Migration Services facility. However, local, limited-scope interfaces may originate from the SC-CMS application.

## **D. Modifications That Will Be Needed to Support Existing System and Data Interfaces**

All information exchanges will need to be created either in the INDS – Migration Services component of the Information Networking Hub or within the SC-CMS application. As noted above, current JIS interfaces and reports may need to be generated in the interim. If the Information Networking Hub can be implemented before or concurrent with the SC-CMS application, most interfaces should be generated from the INDS – Migration Services component. A significant risk exists that these capabilities may not be ready for the implementation of the SC-CMS application. The AOC may need to develop a data bridge that collects the information from the current JIS application and the SC-CMS application to support these interfaces.

The Information Networking Hub needs to be operational prior to the systems integration test described in the Migration Strategy Deliverable. All business services associated with the Information Networking Hub will need to be constructed and documented. The SC-CMS solution provider must develop data exchanges conforming to the documented business services for the Information Networking Hub. The SC-CMS data exchanges should plug into the Information Networking Hub business services. The systems integration test will validate that the system components interoperate together and that the data exchanges are operational. The following user acceptance test will validate that the business transactions work correctly and meet business requirements.

## VI. Work-Around Activities

This section identifies and addresses potential work-arounds that may be necessary for implementing the system. Potentially AOC may elect to acquire and use application modules that are broader in scope than the approved scope for this project. Therefore, many work-arounds may not be applicable. AOC may discover other necessary work-arounds when the limitations of the selected system are understood.

### A. Transitional Information Exchanges

The vision of the SC-CMS application is that it will participate as a service within the AOC Information Networking Hub. AOC plans to have most integration occur within the Information Networking Hub. The SC-CMS will provide data, through the Information Exchange Broker, to the INDS. Services within the INDS will provide data exchanges to existing AOC applications, existing AOC databases, new JIS applications, external court systems, and external non-court systems.

AOC has substantial work to achieve this future state. If the SC-CMS is ready to implement prior to the Information Networking Hub being ready to support statewide court operations, AOC may need to develop a work-around solution to support existing integration points, interfaces, and standard information exchanges conforming to the Information Networking Hub business services. The JIS system may need to continue to be the state system of record for all court data until AOC implements the Information Networking Hub. Temporary Information exchanges may need to be built to transfer data from the SC-CMS to the JIS database.

### B. Information Synchronization

Another potential work-around will be the need to maintain the quality and consistency of the state-level data that exists in the JIS, Information Networking Hub, or SC-CMS databases. Through the transition and beyond, it is operationally critical to maintain consistency and data quality. AOC will need to develop a data synchronization and quality strategy. There is a risk that data may become unsynchronized. As components are built, tested, and implemented, AOC will need to pay attention to the actual content of each data repository. Maintaining an inventory of data sets and their contents will be critical for migrating data toward the new INDS.

### C. Out-of-Scope Functionality

The ESC identified several functional elements as out of scope for the SC-CMS implementation. APPENDIX A, Functional Scope, includes the description of each scope component, including the out-of-scope items. For each out-of-scope element, a potential work-around may be required. This may include continuing to use the existing JIS application (e.g., JIS Accounting for the Manage Finance function), or using a local solution (e.g., document management or jury management) or providing manual processes (e.g., alternative programs, cashiering, receive payments). AOC and the solution providers, collaborating with local court management, will need to develop appropriate work-around strategies for these important pieces of court functionality.

Potential work-arounds may include.

Functional Component	Responsible	Comment
Document Management	AOC	AOC links to local document management systems through a common API to allow the SC-CMS application to access local images.

Functional Component	Responsible	Comment
Juvenile Services	AOC	Local courts continue to use the Juvenile and Corrections System (JCS) and JABS with appropriate manual processes.
Probation Services	Local Court	Manual process or local system.
Bail/ Bond	Local Court	Manual process or local system.
Alternative Programs	Local Court	Manual process or local system.
Best Practices	Local Court	Manual process or local system.
Jury Management	Local Court	Manual process or local system.
Local Rules	Local Court	
Forms Management	AOC/ Local Court	Standard Forms Library. Local forms management.
Education	AOC/Local Court	Continue current education processes.
Court Profile		Manual process or local system.
Reports	Local Court	Produce reports locally from local systems.
Define Financial Parameters	AOC	JIS Accounting.
Bank Account Management	AOC	JIS Accounting.
Manage Case Accounting	AOC	JIS Accounting.
Administer Financial Activities	AOC	JIS Accounting.
Reverse Payments	AOC	JIS Accounting.
Receive Payments	AOC/Local Court	JIS Accounting, Local accounting practices including possible credit card transactions.
Collections	AOC/Local Court	JIS Accounting, Local accounting practices including possible credit card transactions.
Cashiering	Local Court	Manual process or local system. Interface to JIS Accounting.
Disburse Payments	AOC/Local Court	JIS Accounting, local practices.
Reports	AOC/Local Courts	Use JIS Accounting reports, Produce reports locally from local systems.

## VII. Business and Technical Process Adaptations

The selected SC-CMS application, although configurable, will superimpose new processes, work flows, and techniques on to the courts' business process. In addition, the system will have technical structures and processes that may differ from AOC's current structures and processes. In each case, the difference will need to be assessed, and AOC and the solution provider, will need to determine whether to adapt the AOC and court practice to conform to those of the new application or to modify the application to meet the AOC and court practice. The latter will usually be more expensive and time consuming.

### A. Business Adaptations

The new applications will introduce new tools and techniques for managing business processes. For example, the new systems will likely include a work flow management system that will setup active work queues that will need to be managed locally. These tools and techniques will constitute change to the court operation. Assuming Washington Courts desire to use the tools and techniques, court and County Clerk staff will need to learn the new processes and change their current processes to align to new processes using the new SC-CMS application.

Court operations will need to adapt to an environment in which multiple and disparate systems provide different business functions. Throughout the transition, the court may continue to use existing systems for some functions, while using the new SC-CMS for other functions such as calendaring, scheduling, and case flow management. This may require accessing other systems to perform the planned transaction. As the environment matures, these transitions should decrease.

### B. Technical Adaptations

Functional business modules that AOC and local courts determine need to conform to current practices will likely result in technical changes to the existing application modules. Much of this should be configurable. However, depending on the change, it may require customization of the software. AOC should try to minimize customization, as it will be expensive and affect its schedule.

The vendor solution will likely include tools, procedures, and techniques that AOC may wish to use and adopt. AOC may need to adapt its practices to use the solution provider's tools, processes, and techniques. Conversely, the solution provider may choose to use the AOC tools and processes. For example, AOC plans to use the tools for maintaining metadata about the application and managing the quality assurance and testing functions.

The following adaptations are foreseen:

- **Use of Rational Suite** – AOC plans to use the Rational Suite set of tools for testing and quality assurance services.
- **State-Level Court Information** – The business applications will enable information exchanges with the INDS using state-level court information.
- **Financial Systems** – The financial management group of functions are out of scope of this project. Adaptations will be needed to accommodate financial transactions and data.
- **Implementing Interface Data Exchanges** – The new SC-CMS will initiate interfaces through the INDS facilities. The SC-CMS will need to be able to initiate data transfers through the INDS to provide data to external partners.

- **Use of Public Web Portal** – AOC expects the SC-CMS application to use a public Web portal and be consistent with AOC Web services capabilities.
- **Use of the JIS Data Warehouse** – AOC expects the SC-CMS application to feed information to the INDS data warehouse and operational statistical collection systems.
- **Technology Infrastructure** – AOC expects the solution provider to configure a system that closely fits and leverages existing infrastructure and network assets. Many of the current systems, operational processes, and network connections will continue to be used.
- **Enterprise Security** – AOC expects that the application will use AOC and enterprise security procedures for implementing an application security solution.

Many adaptations will be required based upon planning, design, and development of the project initiatives that prepare the business, technology, and operational environment to support the SC-CMS application.

## VIII. Staffing Needs to Support Integration Activities

At the direction of the JISC, the AOC application acquisition strategy is to acquire and implement commercially available packages. This policy requires AOC technical staff to focus on application integration rather than application development. This section discusses these new staffing requirements.

### A. AOC Staffing Needs

The establishment of the proposed environment requires substantial effort. This effort will require the following staffing strategies.

#### 1. SC-CMS Project Staff

AOC staff assigned to the SC-CMS project will work with the solution provider to configure the application to meet business and technical requirements. This will include designing and building data exchanges that will plug the SC-CMS application into the Information Networking Hub, which includes the INDS. Several other data and process integration activities will occur during the configuration and validation phase as the application is prepared to operate in the AOC environment.

#### 2. AOC Project Teams

Several project dependencies have been defined that are necessary to be completed prior to or concurrent with the implementation of the SC-CMS application. Each project will require project management and technical staff to plan, design, develop, and implement the environment that AOC envisions.

#### 3. AOC Integration Team

Several of the AOC projects involve building the Information Networking Hub. AOC must plan, design, build or procure, test, and validate the system. AOC has existing staff that will participate in these tasks, supplemented by consultants.

Data Integration requires that specific data exchanges or other forms of data integration be developed for the following areas.

- Establishment of the Information Networking Hub.
- Existing JIS applications to the INDS.
- Establishment of Information Business Services function and capabilities.
- Establishment of the Information Exchange Broker.
- Replacement of existing interfaces with data exchanges from the Information Networking Hub.
- Migration of the operational reporting and statistical reporting functions into the Information Networking Hub – INDS.
- Creating data exchanges with specific court systems that have existing data exchanges.
- Establishing enterprise security policies, processes, and tools to secure judicial applications and data.
- Establishing and maintaining data registry services.
- Establishment of the Business Intelligence Services.

- Extension of the public Web portal to support information transport capabilities to support multiple public devices and media types and access points.

#### **4. Program and Project Management**

AOC will need to continue to develop its ability to manage change through involving the project management office. Program management structures will need to be established to support multiple projects that collaborate to achieve common program goals, business outcomes, and business benefits.

#### **5. AOC Technology Support Staff**

AOC technology staff will be involved in working with the solution environment to acquire and implement the technology infrastructure necessary to support the SC-CMS application and the Information Networking Hub. They will need to integrate new services, tools, and processes into their existing technology operations.

#### **6. Business Integration Staff**

AOC will need change agents, communication staff, business subject experts, and court liaisons to work with judges, court administrators, and County Clerks and their staff to prepare for, and assimilate the change of implementing a new modern information system to support court operations. Managing stakeholder expectations, educating court staff, disseminating information, and resolving policy issues that will arise are critical elements of this transformation effort.

### **B. Local Court Staffing Needs**

While AOC and the solution provider have the majority of work, local courts will participate in the effort. The migration strategy suggests that local courts will be involved in several planning and preparation activities, including:

- Communicating to the court community.
- Training the court and court community.
- Conducting readiness assessment.
- Redesigning court business processes.
- Redesigning court community business processes.
- Revising court and court community IT budgets.
- Planning local court configuration.
- Planning local court data configuration.
- Planning correspondence, forms, and reports.
- Planning and design data conversion.
- Redesigning application portfolio.
- Designing interoperability.
- Designing local technical infrastructure.

Local Courts will need several staffing resources to assist in the preparation and planning activities.

#### **1. Project Management**

Each court implementation will be a project and will need basic project management skills to plan, organize, control, and lead the project. AOC may support and supplement project management when necessary.

## **2. Court Management**

Court management will direct many preparation and implementation activities. Management staff will be involved in business process changes, integrating the system into court business operations.

## **3. Technical Support**

Local counties will need to provide some technical staff to assist AOC technical staff integrate the new system into each county's technology environment. If a county has its own court systems (e.g., Jury Management System) that it determines to continue using and integrate with the SC-CMS system, then the county will need to provide technical staff to help integrate the system. AOC will establish standard data exchanges that counties may use to access SC-CMS and state-level court information.

### C. 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		6-2-11

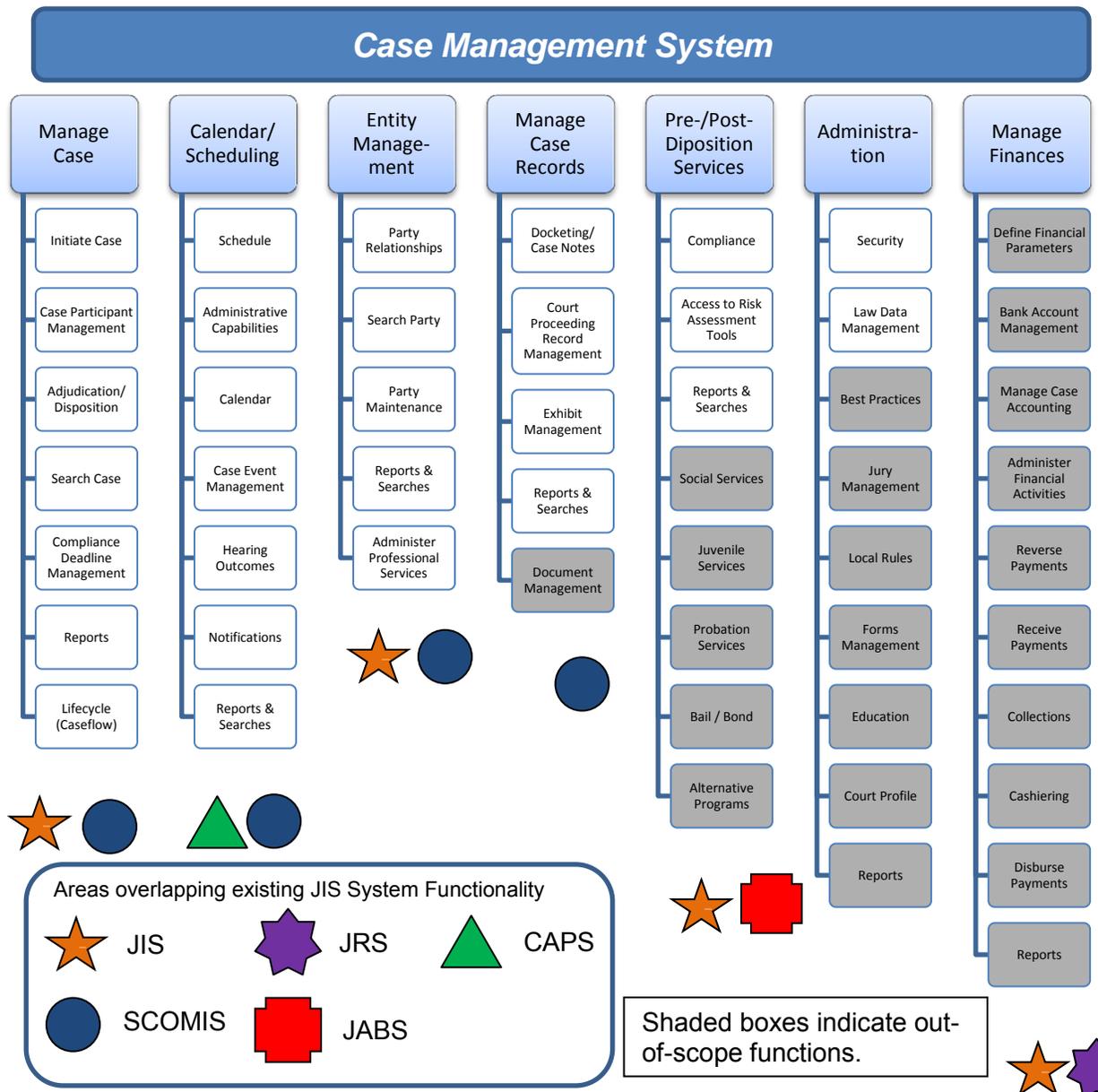
# Appendix A – Functional Scope

The scope of the SCMFS project is based upon current and desired operations, as well as the functional boundaries of existing systems with which the future solution will interact.

## 1. Scope Diagram

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

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



## 2. In-Scope Category Definitions

The functions described in this subsection are business functions that are considered in the scope of the SCMFS. Existing business rules will continue to require that the county clerks remain responsible for the official records. 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 search 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.”<sup>1</sup>

<sup>1</sup> *Caseflow Management Guide*, Page 1, State Court Administrative Office of the Courts, Lansing, Michigan, Undated.

## b. Calendar/Scheduling

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

- **Schedule** – Scheduling capabilities deal with the details of scheduling court resources, and participants for a case/hearing: assigning resources and producing reports.
- **Administrative Capabilities** – Administrative capabilities related to Calendaring/Scheduling are focused on scheduling resources. This includes Judicial Officers, equipment, Court Rooms, Court Resources, Interpreters, etc. It also involves the timing of scheduling events such as divorce proceedings which are held the third Wednesday of the month. These events are typically completed as a Court Administration function: set up, manage caseload, manage resources – establish available times (Courtrooms, Judicial Officers, etc.), delete resources, calendar profile/date – session profile.
- **Calendar** – This capability includes the creation, formatting, maintenance, and distribution of court calendars for each type of hearing and conference. Calendars, as considered within this context, may also include Alternative Dispute Resolution (ADR) events such as mediation, as well as other events that are quasi-judicial in nature. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, or evidence is considered by a Judicial Officer, magistrate, referee, commissioner, or other judicial officer in court events such as trials and hearings, lower court reviews, trial court conferences aimed at information gathering or pre-trial resolution, and ADR events.

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

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

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

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

Calendaring is a sub-activity of case management. That is, you may have a calendaring system without having a CMS. A CMS presumes the existence of a calendaring system as either part of the CMS 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 to whom they are sent. 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 CMSs are highly dependent upon the data and information in a docketing system. For example, a summary judgment motion is filed and the official record of that document is created in the docket. The motion also serves as the request for court time to be calendared. The motion also serves as the date marker relative to a case management rule regarding the sequencing and timing of the request and scheduling of the hearing for purposes of compliance monitoring and enforcement.

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

#### e. Pre-/Post-Disposition Services

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

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

ability to issue and manage decision records, access to participant history, and Washington State Patrol and Department of Licensing data.

#### f. Administration

Capabilities conducted for managing and supporting a court as it carries out its business mission. The following sub-capabilities fall within this 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. A system user's ability to gain access to the 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 Washington State Patrol, 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 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 as it carries out its business mission. Nine sub-capabilities fall under administration. Security and Law Data Management are within this scope and are described above. The other sub-capabilities, which are out of scope, are described below.

- **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 – Functional Requirements Information Exchanges**



WASHINGTON ADMINISTRATIVE OFFICE OF THE COURTS  
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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
1.1	Probable Cause Hearing/Bail/Release Hearing	Upon the arrest of a suspect, a Probable Cause Hearing is held to determine if there is a reasonable ground for belief in the existence of facts warranting particular proceedings. If probable cause is determined, a Bail/Release Hearing is held to determine if the suspect should be released and if so, what the bail for the individual should be.	Judicial Officer/ Clerk	Prosecuting Attorney	Probable Cause	X	
1.10	Pretrial Conference	When a defendant enters a plea of not guilty, a pretrial conference is set. The hearing provides an opportunity for plea negotiations, resolution of all discovery issues, and trial setting. If the case is set for trial, an order is entered setting forth the following, if applicable (The Court Administrator schedules these activities): (i) discovery schedule; (ii) date and nature of pretrial motions; (iii) date of readiness hearing; (iv) date of trial; and (v) time for filing witness lists.	Judicial Officer/Court Administrator/ Clerk	Prosecuting Attorney	Probable Cause; Arrest	X	
1.11	Trial	The presentation of evidence in court to a Trier of fact who applies the applicable law to those facts and decides the case. The examination before a competent tribunal, according to the law put in issue in a cause, for the purpose of determining such issue.	Judicial Officer/ Clerk	Case Participants	Evidence	X	
1.12	Judgment/Adjudication	The arbitrator decides the case based on information provided by the participants.	Arbitrator	Case Participants	Case Decision	X	
1.13	Treatment Court	At any point before the trial begins, the defendant may apply for the Treatment Court option. In this process a defendant pleads guilty to the charges and is offered a treatment path/program to complete instead of going to trial. If the treatment path/program is successfully completed, the case is closed. If it is not successfully completed the defendant is sentenced based on the guilty plea to the charges.	Judicial Officer	Drug Treatment Program	Treatment Court Option Application; Treatment Results Notification	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
1.14	Record Treatment Plan	The Court Clerk records the developed treatment plan and conditions from the plan. Regularly scheduled checks are set up between the court, defendant, and treatment provider to evaluate progress in meeting the treatment plan goals/objectives.	Court Clerk	Treatment Provider	Treatment Plan; Treatment Status Check	X	
1.15	Treatment Partner and Defendant	The defendant works with the identified treatment provider to meet the goals and objectives of the treatment plan to successfully complete the program. There are regular check-ins with the court to track progress and compliance.	Defendant and Treatment Partner	Treatment Partner	Compliance Progress	X	
1.16	Change Plea to Guilty	At anytime during the course of the case lifecycle between the preliminary hearing and trial, the defendant may change their plea to guilty and jump the queue to the Judgment and sentencing phase of the case lifecycle.	Judicial Officer	Defendant	Plea	X	
1.17	Record Judgment on Case	Upon completion of the case, the judgment is recorded. Based on the judgment, there are three paths that can be followed. The defendant is either found not guilty, Acquittal by Jury Verdict, guilty, or not guilty for reason of insanity. Each takes a different path after Judgment/Adjudication (step 1.12).	Court Clerk	Case Participants	Judgment	X	X
1.18	Close Case	A case is closed upon successful completion of the treatment court conditions, a defendant is found not guilty, or if found guilty all conditions of the sentence have been successfully completed.	Court Clerk	Case Participants	Declaration of Completion	X	
1.19	Schedule Yearly Review	If a defendant is found not guilty for reason of insanity, yearly reviews for that defendant are scheduled to determine the mental capacity of the	Court Clerk/Court Administrator	Mental Health Agency	Yearly Reviews	X	
1.20	Modification Hearing	The yearly reviews, Modification Hearings, are conducted by a Judicial Officer to assess the information about the defendant's mental capacity and determine the sentencing conditions.	Judicial Officer	Case Participants	Findings	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
1.2	Non –Charge Case Creation	A “shell” of a case is created to track information about a person in custody, prior to the filing of charges. The shell case uses an official case number from the system. The case type is based on {} and the cause code is {}.	Court Clerk	Law Enforcement/ Prosecutor	Arrest		X
1.26	Modification Requests	The defendant has the ability to file modification request in the court. This is a request to modify the issued sentence.	Defendant/ Prosecutor	Defendant	Modification Request	X	
1.27	Post Adjudication Matters/Proceedings	The Post Adjudication Process includes requests to modify, or change a ruling or judgment.	Judicial Officer	Case Participants	Judgment Change Request	X	
1.29	Deferral or Continued Prosecution Monitoring	There are instances where a defendant is released and monitored. If the defendant stays on the straight and narrow, the case will be closed and no further action taken. If the defendant runs afoul of the law, the original charges will be re issued against them along with any new ones.	Prosecutor	Prosecutor	Deferral	X	
1.3	Case Initiation Documents	The Prosecuting Attorney creates/completes the documents (charging documents) that are used to initiate a Criminal Case. These Charging document identify the party(is) involved and the laws that were alleged to be violated.	Case Participant (Prosecuting Attorney)	Prosecuting Attorney	Charging Documents	X	
1.31	File Pleading	When documents are presented to the court clerk for creation of a case or adding to a case, there is review process that occurs to ensure the documents can be accepted and a case opened or added to an existing case.	Court Clerk	Case Participants	Case Documents	X	
1.32	Document Control	Once a document is received and accepted it must be processed, assigned to the appropriate case, and associated with that case file. This can be any combination of processes. Either pure paper, pure electronic, or a combination of both. A filing date is recorded on each document filed.	Court Clerk	Case Participants	Case Documents	X	
1.34	Request Case Number	The local court will request from AOC the case numbers that can be used by that local court for cases. Each case type will have its own set of numbers.	Court Clerk	AOC	Assigned Case Number		X

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
1.37	Order for Warrant or Summons	The prosecuting attorney creates an order for summons or warrant in a criminal case for a judge to sign. This will then be served to the identified party.	Prosecuting Attorney	Prosecuting Attorney	Summons or Warrant	X	
1.38	Sign Order	The judicial officer reviews the warrant/summons request and signs if appropriate and returns to the requesting party.	Judicial Officer	Case Participants	Summons or Warrant	X	
1.4	Initiate Case - Civil	The capturing of information related to civil activity. This information consists of what civil cause is initiated, and when and where the action occurred. This step also implements business rules related to when the first actions by the court needs to be taken and the creation of a case file.	Court Clerk	Case Participants	Charge Documents	X	
1.4	Open Case/Initiate Case	The capturing of information related to the lower court case. This step implements business rules related to when the first actions by the court needs to be taken and the creation of a case file.	Court Clerk	District Court	Charge Documents	X	X
1.4	Assign Case number(s)	The clerk's office provides the PA office the requested case number(s) and notes its assignment.	Court Clerk	Prosecuting Attorney	Case Number		X
1.4	Initiate Case - Criminal	The capturing of information related to a criminal activity. This information consists of what crime was alleged (charge), who the alleged perpetrator(s) is (are), when and where the action occurred. This step also implements business rules related to when the first actions by the court needs to be taken, the creation of person records, and the creation of a case file. A Criminal Case can be initiated by the Prosecuting Attorney by filing the appropriate documentation and the Court Clerk creating a case, or if can be initiated by the Court Clerk as a result of Probable Cause Hearing/Bail-Release Hearing action.	Court Clerk	Prosecuting Attorney	Charge Documents	X	
1.41	File Case (with Pre-Assigned Case Number)	Once the PA has the case number the case is filed with the court.	Prosecuting Attorney	Prosecuting Attorney	Case Filing	X	X
1.43	File Case	The PA Office completes all the required paper work and file a case without a pre-assigned case number. This often happened when initiating a Probable Cause hearing or first appearance after an arrest.	Prosecuting Attorney	Prosecuting Attorney	Case Filing	X	X

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
1.46	Identify and Add Participants	A critical part of initiating a case is the proper identification of parties and adding them to the case. This process involves specific business rules and access to several sources of information to ensure proper and correct identification of parties associated with a case.	Court Clerk	Case Participants	Participant	X	
1.48	Prepare Summons	During the course of trial, the prosecuting attorney or defense attorney may produce summons for case participants to appear in court. The summons is recorded with the court for the case associated with the summons.	Prosecuting Attorney	Prosecuting Attorney	Summons	X	
1.50	Issue Summons/Warrant/Orders	The Court or case participants may issue summons to parties to appear in court. The judge may also issue Warrants and Orders. The Clerk's Office will record what was issued and served in the case file.	Court Clerk	Case Participant	Summons or Warrant	X	
1.52	Create and Send Information	Based on the outcome of a case, third parties require information about the participants and the outcome of the case. Examples of interested third parties include the Secretary of State, Department of Corrections, and Washington State Patrol.	Court Clerk	Third Parties	Case Outcomes	X	
1.53	Exhibit Management	The court clerk is responsible for managing and tracking all exhibits submitted into evidence for a case. This includes acceptance and assigning to a case, tracking storage locations, monitoring location while the case is proceeding (assigned to jury room if jury request to review the exhibit).	Court Clerk	Case Participants	Exhibits	X	
1.6	Preliminary Hearing (Motions)	Hearing conducted to determine preliminary matters for a civil trial.	Judicial Officer	Case Participants	Motions	X	
1.7	Issue Warrant/Summons	In the course of the case lifecycle there are times when a Judge orders a warrant or summons and the clerk issues them. When that occurs, the Court Clerk creates the warrant or summons.	Court Clerk	Law Enforcement	Summons or Warrant	X	X
2.1	Arbitration?	The submission of a disputed matter to a disinterested private party, whose decision is accepted in lieu of a decision by the court.	County Clerk or Court Administrator?	Case Participants	Arbitration Decision	X	

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SUPERIOR COURT MANAGEMENT FEASIBILITY STUDY

**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
2.2	Complete Case	Upon case completion, the Court Clerk records information.	Court Clerk	Case Participants	Notice of Completion	X	
2.4	Link Cases	The Court Clerk will link cases that have common parties and/or interest if it will assist the parties in the case find justice. It is in the best interest for all parties that if domestic relations case participants have domestic violence issues pending, these cases should be linked to help provide additional information to the Judicial Officer.	Court Clerk	Case Participants	Cases		X
2.5	Accounting Actions	While initially out of scope for this project, this is where financial actions during case initiation occur.	Court Clerk	JIS Accounting	Financial Transactions		X
3.12	Return to Active status, Civil Case as a Trial De Novo	Upon a party filing a written request for a trial de novo the arbitration award is sealed and the case is pending in the Superior Court as though no arbitration proceeding has occurred.	Court Clerk	Case Participants	Written Request for a Trial de Novo	X	
3.13	Record Case Results	The act and processes of recording the outcome of the trial and notification of all impacted	Court Clerk	Case Participants	Case Outcomes	X	
3.4	Notify Arbitrator and Participants	Once the parties have agreed on an arbitrator all participants involved in the case are notified.	Court Administrator	Case Participants	Arbitration Notification	X	
3.9	File Dispositive Documents	The arbitrator files the award with the clerk, with proof of service of a copy on each party.	Court Clerk	Arbitrator	Proof of Services	X	
4.1	Modification	A party requests a modification of the terms of a court order or decree of dissolution, including support, custody, and visitation.	Court Clerk	Case Participants	Modification Request	X	
4.3	Settlement Conference	The Settlement Conference allows the parties to come to agreement before the case goes to trial. The initiating party provides documentary information necessary to inform the court and the opposing party of the submitting party's issues. If the case fails to settle at the settlement conference, the parties will immediately appear before the Court Administrator to select a trial date. If the settlement conference results in a partial or full settlement of the case, a record of the settlement shall be made, either by a written CR 2A settlement agreement, signed by both parties and their attorneys, or, if available, on the record in open court.	Judicial Officer	Case Participants	Case Resolution	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
4.5	Grant Petition(s)	The Judicial Officer issues/grants a petition (e.g. domestic relations).	Judicial Officer	Case Participants	Domestic Relations Petition	X	
4.6	Judgment to DSHS and Other Organizations	Upon completion of a Domestic Relation Case some records and documents are too sent to interested third parties. This includes DSHS and other	Court Clerk	DSHS; Third Party	Domestic Relations Case Resolution	X	
5.1	Record in Will Repository	When a will is submitted it is issued a case number for the current year will remain open until death of the will party. These are sealed case findings by statute.	Court Clerk	Case Participants	Will	X	
5.2	Issue Order of Solvency	Based on status and facts of a probate case an order of solvency maybe issued in behalf of the deceased.	Judicial Officer	Case Participants	Order of Solvency	X	
5.3	Issue Notices	The attorney will issue notices to be published to case participants and others.	Judicial Officer	Case Participants	Notices	X	
5.4	Personal Representative Appointed	Based on the actions of the case judicial officer may determine a case participant is entitled to a personal representative and the court clerk will see that this occurs.	Court Clerk	Case Participants	Personal Representation Request	X	
5.5	Schedule Document Due Dates (with ticklers)	During the course of a probate case documents and reports of actions/activities may be ordered to be produced by specified dates. The receipt dates need to scheduled/calendared and tickler reminders created in the system. The reminders/ticklers need to be provided to court staff and the Personal Representative responsible for producing the	Court Clerk/Court Administrator	Case Participants	Schedule	X	
6.1	Guardian and or GAL Appointed	The superior court of each county shall have power to appoint guardians for the persons and/or estates of incapacitated persons, and guardians for the estates of nonresidents of the state who have property in the county needing care and attention. RCW 11.88.010 "Authority to appoint guardians".	Judicial Officer	Case Participants	Guardian Appointment	X	
6.10	Ordered Reviews	The court will schedule reviews (yearly) of circumstances of a defendant on a regular basis for several years out.	Court Clerk	Guardian	Annual Review	X	
6.11	Monitor Compliance	Monitor compliance of due dates for required documents. System generated ticklers and notifications to ensure that required actions are taken by case participants.	Court Administrator/ Court Clerk	Case Participants	Compliance Notification	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
6.3	Notice to Individual and/or Guardian ad	See RCW 11.88.030 (4) (a) and (b)	Court Clerk	Attorney	Hearing Notice	X	
6.5	Trial Type Selection and Scheduled	The defendant party has the option to select the type of court proceeding that will decide their fate. They may opt for either a Jury Trial, arbitration/mediation activity, or a judicial hearing.	Participant the guardianship question revolves around.	Attorney	Trial Type Selection and Scheduled	X	
6.7	Letters of Guardianship Issued	Guardianship letters issued.	Judicial Officer/Court Administrator (?)	Case Participants; Attorneys; Petitioners	Letters of Guardianship	X	
6.9	Approve Petition to Close Case and Issue Order	Action taken by the Court upon a filing of a declaration of completion of guardianship.	Court Clerk	Case Participants; Attorneys; Petitioners	Declaration of Completion	X	
7.1	Hearing Scheduled	For a petition of Termination	Court Administrator/ Clerk	Case Participants	Hearing Schedule	X	X
7.4	Relinquishment Decision	The Judicial Officer will hear a case and issue a decision on the relinquishment of the individual.	Judicial Officer	Third Parties	Order of Relinquishment	X	
7.6	Issue Decree of Adoption Order	Judicial Officer issues an order for adoption and any orders that go with it.	Judicial Official	Case Participants	Order For Adoption	X	
7.7	Seal Case	Formally seal the case. The case is confidential once it is initiated and security and control procedures are followed.	Court Clerk	Case Participants	Decree of Adoption	X	
7.8	Pass Data to Agencies	Information related to the adoption is sent to the Department of Health statistical section and DSHS child welfare office.	Court Clerk	Department of Health; DSHS Child Services	Decree of Adoption	X	
8.2	Update Case	Add or change case information based on new activity such as the filing of a petition for 90-day or 180-day treatment. These cases are sealed by statute.	Court Clerk	Case Participants	Petitions	X	
8.3	Treatment Action	Judicial Officer signs off on a treatment plan for the defendant.	Judicial Officer	Treatment Provider	Treatment Plan	X	
8.4	Less Restrictive Alternative Hearing	The Judicial Official will review the condition/situation and determine if the defined treatment plan can be delivered in a less restrictive method then is currently being followed.	Judicial Official	Case Participants	Defined Treatment Plan; Petition	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
9.1	Process Petition and Initiate Referral	In some court the local Juvenile Department will initiate a case with the issues of a referral. The Dependency Petition will initially be filed here and sent to the Superior Court Clerk.	Juvenile Department	Case Participants	Dependent Child Petition	X	
9.10	Terminate Case	When a case is dismissed the case is closed by the court clerk.	Court Clerk	Case Participants	Order to Return Child to Parent	X	
9.12	Disposition Hearing (where child will live)	A hearing held following the entry of the findings of fact for the purpose of determining suitable placement of the child.	Judicial Officer	Case Participants	Custody Decision	X	
9.18	Contested Termination Hearing	A hearing held where the parent, guardian or legal custodian of a child is opposed to termination of their parental rights.	Judicial Officer	Case Participants	Decision	X	
9.2	Process Petition/Initiate Referral and/or Case	The capturing of information related to a Juvenile Dependency Case. This information consists of allegations of a dependent child; if he or she has been abandoned, abused, or neglected, or has no parents willing and capable of exercising control over the child, or is developmentally disabled. This step also implements business rules related to when the first actions by the court needs to be taken, the creation of person records, and the creation of a case file.	Court Clerk	Case Participants	Statement of Allegations	X	
9.21	Dismiss Petition	Action taken upon a decision by the Court to dismiss a dependency petition of dependency or a petition of termination.	Judicial Officer	Case Participants	Petition Dismissal	X	
9.3	Assign Guardian to Child	If a guardian in required, one is appointed by the court.	Judicial Officer/Court Administrator	Case Participants	Guardian Assignment	X	
9.4	Sign Pick Up Order	Upon the filing of the petition, the clerk of the court shall issue a summons, one directed to the child, if the child is twelve or more years of age, and another to the parents, guardian, or custodian, and such other persons as appear to the court to be proper or necessary parties to the proceedings, requiring them to appear personally before the court at the time fixed to hear the petition.	Court Clerk	Case Participants	Summons	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
9.6	Shelter Care Hearing	The court shall schedule a fact-finding hearing to be held within 45 days of the filing of the petition alleging dependency, giving preference to those cases where the juvenile is held in shelter care. The court may, for good cause shown, continue the hearing to a later time at the request of a party.	Judicial Officer/ Administrator/ Clerk	Case Participants	Pickup Order; Summons	X	
9.7	Fact Finding Hearing	The process where the Judicial Officer gathers facts on the case as presented by the participating parties.	Judicial Officer	Case Participants	Facts	X	
10.1	Open Referral	The capturing of information related to a juvenile offender activity. This information consists of information related to the incident in question, who the alleged perpetrator(s) is (are), when and where the action occurred. This step also implements business rules related to when the first actions by the court needs are taken, the creation of person records, and the creation of a referral.	Court Clerk	Juvenile Department; Probation Officer; Prosecuting Attorney	Juvenile Referral	X	
10.15	Juvenile Detention	A term of confinement in a local detention facility or a facility of the Juvenile Rehabilitation Administration.	Court Administrator/ Judicial Officer	Juvenile Rehabilitation Administration	Term of Confinement	X	
10.17	Success	A decision about whether an offender has successfully met the sentence conditions imposed.	Judicial Officer	Juvenile	Completed Sentence Conditions	X	
10.18	Successfully Complete Sentence	The Juvenile completes assigned sentence.	Juvenile Offender	Case Participants	Sentence Completion	X	
10.19	Deliver Warrant/Summons	The Court Clerk will distribute all issues Warrants and Summons per court process procedures for the local court.	Court Clerk	Law Enforcement; Juvenile Offender	Warrants and Summons	X	
10.3	Diversion Assignment	A diversion agreement is a contract between a juvenile accused of an offense and a diversion unit whereby the juvenile agrees to fulfill certain conditions in lieu of prosecution. Such agreements may be entered into only after the prosecutor, or probation counselor has determined that probable cause exists to believe that a crime has been committed and that the juvenile committed it. Such agreements shall be entered into as expeditiously as possible.	Prosecutor/ Probation Counselor	Diversion Unit	Diversion Agreement	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
10.4	Perform Diversion Tasks	The Juvenile performs the prescribed diversion activities.	Juvenile Offender	Diversion Unit	Diversion Agreement	X	
10.5	Close Referral	If successfully completed, the incident is closed.	County Clerk	Case Participants	Referral Closure	X	
10.7	Restitution Established Fine	Restitution established as part of a diversion agreement.	Court Clerk	Juvenile Department; Probation Officer; Prosecuting Attorney	Restitution Fine	X	
10.8	Determine Auto Decline	Determination that a juvenile offender is alleged to have committed an offense which by law automatically transfers the case from juvenile court to superior court jurisdiction.	Prosecuting Attorney/LEA	Juvenile Department	Order to Transfer Case to Superior Court	X	
11.11	Monitor Child and Report to Court	Truancy Board monitors child and reports to the court.	Truancy Board	School	Child Reports	X	
11.12	Record and Monitor	Court Clerk or Juvenile Department monitors child and reports. If the court assumes jurisdiction, the school district shall regularly report to the court any additional unexcused absences by the child. If the child fails to comply with the court order, the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as community service. If a child continues to be truant after entering into a court-approved order with the truancy board under RCW 28A.225.035, the juvenile court shall find the child in contempt, and the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as meaningful community service.	Court Clerk	School	School Attendance Report	X	
11.14	Contempt Hearing	If a child (or parent) does not comply with the court orders for the child they can be brought in front of the judge again on issues of contempt of a court order.	Judicial Officer	Parent; Juvenile, Prosecutor	Contempt of Court Order	X	
11.16	Notifications	Notifications are sent to all parties involved in the contempt hearing.	Court Clerk	Case Participants; School	Notifications		X

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
11.17	Sentencing Hearing	Upon completion of the case (time expiration or all conditions/orders met, the case can be ordered purged.	Judicial Officer	Case Participants	Completion of Case	X	
11.2	Meet Participants	If a referral is made to a community truancy board, the truancy board must meet with the child, a parent, and the school district representative and enter into an agreement with the petitioner and respondent regarding expectations and any actions necessary to address the child's truancy within thirty days of the	Truancy Board	Community Truancy Board	Truancy Referral	X	
11.3	Reach Agreement	If the truancy board fails to reach an agreement, the truancy board shall return the case to the juvenile court for a hearing.	Truancy Board	Community Truancy Board	Referral	X	
11.8	Hearing on Petition Agreement	If the allegations in the petition are established by a preponderance of the evidence, the court shall grant the petition and enter an order assuming jurisdiction to intervene for the period of time determined by the court, after considering the facts alleged in the petition and the circumstances of the juvenile, to most likely cause the juvenile to return to and remain in school while the juvenile is subject to this chapter. In no case may the order expire before the end of the school year in which it is entered.	Judicial Officer	Juvenile Parent or Guardian	Order Assuming Jurisdiction to Intervene	X	
11.9	Order of Dismissal, or Ordering Child to School	A decision of the court either dismissing the petition or setting forth provisions for the child to attend	Judicial Officer	Juvenile Parent or Guardian	Order to Attend School	X	
13.1	Notify Parent and Child	The Parent(s) and child(ren) are notified once a case is initiated related to the child(ren) being identified as "at risk".	Court Clerk/Court Administrator	Parent; Juvenile; DSHS; Attorney; Prosecutor	At Risk Notification	X	
13.2	Disposition Hearing	The hearing to consider a disposition plan shall be held within 14 days after the fact-finding hearing of on an at-risk youth petition. Each party shall be notified of the time and date of the hearing.	Judicial Officer/ Administrator/ Clerk	Parent; Juvenile; DSHS; Attorney; Prosecutor	Disposition Plan	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
13.3	Review Hearing	The court shall schedule a review of a dispositional order of an out-of-home placement within 3 months of the placement. The notice of the review hearing required by RCW 13.32A.190 may be given to the parties at the placement hearing, or they may be notified in accordance with rule 11.2. The hearing shall be conducted in accordance with RCW 13.32A.190.	Judicial Officer/ Administrator/ Clerk	Parent; Juvenile; DSHS; Attorney; Prosecutor	Dispositional Order	X	
13.4	Extension of Supervision Order	If the court finds, and the parent agrees, that there are compelling reasons for an extension of supervision, an extension of supervision can be granted not exceed ninety days.	Judicial Officer	Parent; Juvenile; DSHS; Attorney; Prosecutor	Extension of Supervision	X	
13.5	Contempt Hearing	If a child does not follow the orders issued by the courts there can be contempt hearing held. The number of contempt hearing held can trigger a child be referred to Juvenile Court for criminal case filing.	Judicial Officer	Parent; Juvenile; DSHS; Attorney; Prosecutor	Contempt of Court Order	X	
14.1	Notice to Appeal and Fee	A party must seek review of a decision in a criminal case in the superior court of the county in which the offense allegedly occurred if the court of limited jurisdiction from which the appeal is taken is located in a joint justice court district. In all other cases, a party must seek review in the superior court for the county in which the court of limited jurisdiction from which the appeal is taken is located. A party appealing a decision subject to these rules must file a notice of appeal in the court of limited jurisdiction within the time provided by rule 2.5. This is the only jurisdictional requirement for an appeal. The first party to file a notice of appeal shall, at the time the notice is filed, pay the statutory filing fee to the CLERK of the court of limited jurisdiction in which the notice is filed.	Case Participants	Case Participants	Notice of Appeal	X	
14.10	Transmittal of Mandate	The mandate is transmitted to the lower court, and to each party, unless a party files a timely notice for discretionary review. The lower court shall comply with the mandate of the superior court and shall enter the judgment for enforcement in their court.	Court Clerk	CLJ/ Agency	Transmittal of Mandate	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
14.2	CLJ Clerk Perfect Appeal	The CLERK of the court of limited jurisdiction shall immediately, upon filing of a notice of appeal and payment of the filing fee, if required, file a copy of the notice with the superior court. RALJ 2.4, CRLJ 9.1 and CRLJ 73 require the District and Municipal Courts to perfect the appeal before transmitting it to the Superior Court. The capturing of information related to the lower court case. This step implements business rules related to when the first actions by the court needs to be taken and the creation of a case file.	CLJ/Agency	Case Participants; CLJ/ Agency	Notice of Appeal	X	X
14.8	Issue Stay on Appealed Case Decision	The Superior Court judge has the option to issue a stay on the lower court's decision on the case on appeal. If it is stayed, an order needs to issued, signed and delivered.	Judicial Officer	CLJ/ Agency; Case Participants	Stay of the Lower Court's Decision	X	
14.9	Oral Arguments/Decide Appeal	Each side shall be allowed 10 minutes for oral argument, or longer if ordered by the superior court.	Judicial Officer	Case Participants	Decision	X	
18.11	Notify Law Enforcement of Restraining Order Issues	The Court Clerk is responsible for notifying the local law enforcement agencies that a protection order has been lifted or modified (see step 18.10).	Court Clerk	Law Enforcement	Restraining Order	X	X
18.14	Mark as Final Judgment	Upon filing of the final judgment the case documents related to a paternity case are reviewed by the Court Clerk and marked as "Final Judgment" documents and made public.	Court Clerk	Case Participants	Final Judgment	X	
18.5	Order for Amended Birth Certificate	When a father is identified the judicial official has the option of issuing an order to amend the child's birth certificate identifying the father.	Judicial Official	County Auditor	Birth Certificate Modification	X	
18.7	Support Orders	Once costs are determined and child support payments are identified a support order is issued by the judicial official. The support order remains open in case there are conditions/reasons brought to the court that may change the original order amount.	Judicial Official	Division of Child Support; Subject	Child Support Order	X	
18.8	Residential Provisions	The case may be revisited if issues/concerns with the child's residential provisions are raised. This can be an ongoing activity.	Judicial Official	Case Participants	Residential Provisions	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
18.9	Parenting Plan	If a parenting plan is needed, one will be created. This too can be revisited as needed as long as the child in question resides with the parent and is a	Judicial Official	Case Participants	Parenting Plan	X	
EA – 3	Mediation Actions	External Activities: If the case participants reach a mediated agreement the parties sign a settlement agreement and file it with the court. This settlement filing will resolve the case.	Case Participants	Case Participants	Settlement Agreement	X	
EA. – 2	Request Mediation	External Activity: The parties involved in a civil case can explore and partake in mediation activities to resolve an issue/case at any time before a judgment is issued on the case by a judicial official.	Case Participants	Case Participants	Civil Case Resolution	X	
EA-1	Assign Case Numbers	AOC I assigns each local court a set of case numbers, by case type.		AOC	Case Number Assignment		X
External Action 7	Develop Standard Forms	The Administrative Office of the Courts creates and maintains standard forms used for case filings including paternity cases. The forms are available to participants via WA State Courts website.	AOC	AOC	Standard Forms	X	
External Action 8	Maintain Schedule and Standards for Payments	The schedule and standards for paternity payments is maintained in RCW 26.19. The numbers in the payment schedule are reviewed by the joint legislative audit and review committee along with the child support work group created in RCW 26.19.025 on a four year cycle starting in 2011.	AOC	Parent	Payment Schedule	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
External Activity 10		If the court assumes jurisdiction, the school district shall regularly report to the court any additional unexcused absences by the child. If the child fails to comply with the court order, the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as community service. If a child continues to be truant after entering into a court-approved order with the truancy board under RCW 28A.225.035, the juvenile court shall find the child in contempt, and the court may order the child to be subject to detention, as provided in RCW 7.21.030(2)(e), or may impose alternatives to detention such as meaningful community service.	School District	School District	Unexcused Absences	X	
External Activity 4	Distribution: Petition, Order Appointing GAL, Notice of Petition	The petitioner for guardianship is tasked with distributing all court issued/order documents/communications with the case participants.	Case Participants	Attorney	Case Documents	X	
External Activity 5	Statement of GAL Qualifications	The Guardian Ad Litem (GAL) needs to produce and submit a statement of qualifications to the court before beginning work on the case.	Guardian Ad Litem	Attorney	Statement of Qualifications	X	
External Activity 6	File GAL Reports	The GAL will issue a required/requested report to the court for the case on hand.	Guardian Ad Litem	Attorney	Report	X	
External Activity 7	File Oath and Bond	The guardian needs to file an Oath and Bond with the courts before they can be assigned to a case.	Guardian	Guardian	Oath and Bond	X	
External Activity 8	Prepare Documents for Review	The guardian will produce required documents for the court case.	Guardian	Guardian	Guardian Documents	X	
External Activity 9	Appeal Adoption Decision	The adoption decision can be appealed by any case participant. This then becomes a Civil Domestic Relations Case.	Other parties	Case Participants	Adoption Decision	X	
External Activity 9	Challenge allocation of Paternity	A person can open a case that challenges the allocation of paternity of a child.	Other	Case Participants	Paternity Challenge	X	
Pre Activity 3	File Will With Clerk	A case participant initiates a case by filing their will with the county clerk. This case is created and just held until the death of filer of the will.	Case Participant (John Q. Public)	Case Participants	Will	X	

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**FUNCTIONAL REQUIREMENTS INFORMATION EXCHANGES**

Process Number	Name	Description	User	External Entity	Information Exchange	Document	Electronic Information Exchange
Pre Activity 4	Begin Probate Case Action	The will of a deceased person is submitted county clerk at the court.	Case Participant (John Q. Public)	Case Participants	Will	X	
Pre Activity 5	Submit Petition	If no will is available a petition is submitted on behalf of the deceased.	Case Participant (John Q. Public)	Case Participants	Petition	X	
Pre-Action 1	Arrest	A person is arrested by the police. Based on the age, severity of the alleged incident, and other factors, the arrested person may be sent to district court or the Superior court for their first hearing.	Law Enforcement	Law Enforcement	Arrest		X
Pre-Action 2	District Court	The district court may hold a probable cause hearing and bail/release hearing for a suspect before the case is opened at Superior Court.	Local District Court	Jail	Bail/ Release Decision	X	
Pre-Action 7	Arrest	A person is arrested by the police. Based on the age, severity of the alleged incident, and other factors, the arrested person may be sent to district court or the Superior court for their first hearing.		Law Enforcement; Prosecuting Attorney	Arrest	X	
	Financial Process	When a case is filed a fee is collected. Sometimes the fee is waived. (Specific business rules will need to be defined.) Also, if a case is sent to arbitration, an arbitration fee is charged. If an arbitration case then is converted to a trial de novo, is used the original case number and no new fee is collects.	Court Clerk	Case Participants	Request Ex Parte Order	X	



## **Appendix C – Enterprise Architecture – Information Networking Hub Design**

