



Judicial Information Systems Baseline Services Report

By

JISC Workgroup on Baseline Services

FINAL
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Message from the JISC Baseline Services Workgroup

Under direction established by the Judicial Information System Committee (JISC), this Workgroup (created June 25, 2010) set about to determine which business functions should be made available centrally to all courts in the state (with JIS funding), and which functions should be decentralized (provided locally). This identification of baseline services provides a crucial foundation for the building of information systems that serve Washington's court-business needs.

We initially convened and began working in September 2010, and the work has proven both challenging and informative. We trust that the JISC and Washington courts will find that it has resulted in useful guidance for the development of court information technology – both in the identification of basic service needs, as well as in the development of a methodology and criteria to objectively make service determinations in the future as business processes and automation evolve.

Key challenges in our work included envisioning the future state (un-mired from current practices which may or may not serve the courts well in coming years), and looking across the court system (unlimited by the boundaries of the court levels we individually serve). We have made every effort to consider stakeholder input and to balance the needs of courts of differing sizes (with varying levels of resources).

The recommendations which are presented in this report are intended to provide guidance in the development of IT solutions which directly serve court business needs. These are submitted as a framework; additional effort will be required to analyze the services and service components which comprise the sub-functions discussed here. Additionally, continual examination will be necessary to develop and refine the future-state vision as court business evolves and the future unfolds.

Respectfully submitted,

Larry Barker
Linda Bell
William Holmes
N. F. Jackson
Rich Johnson
Dirk Marler
Barbara Miner

Executive Summary

Goals

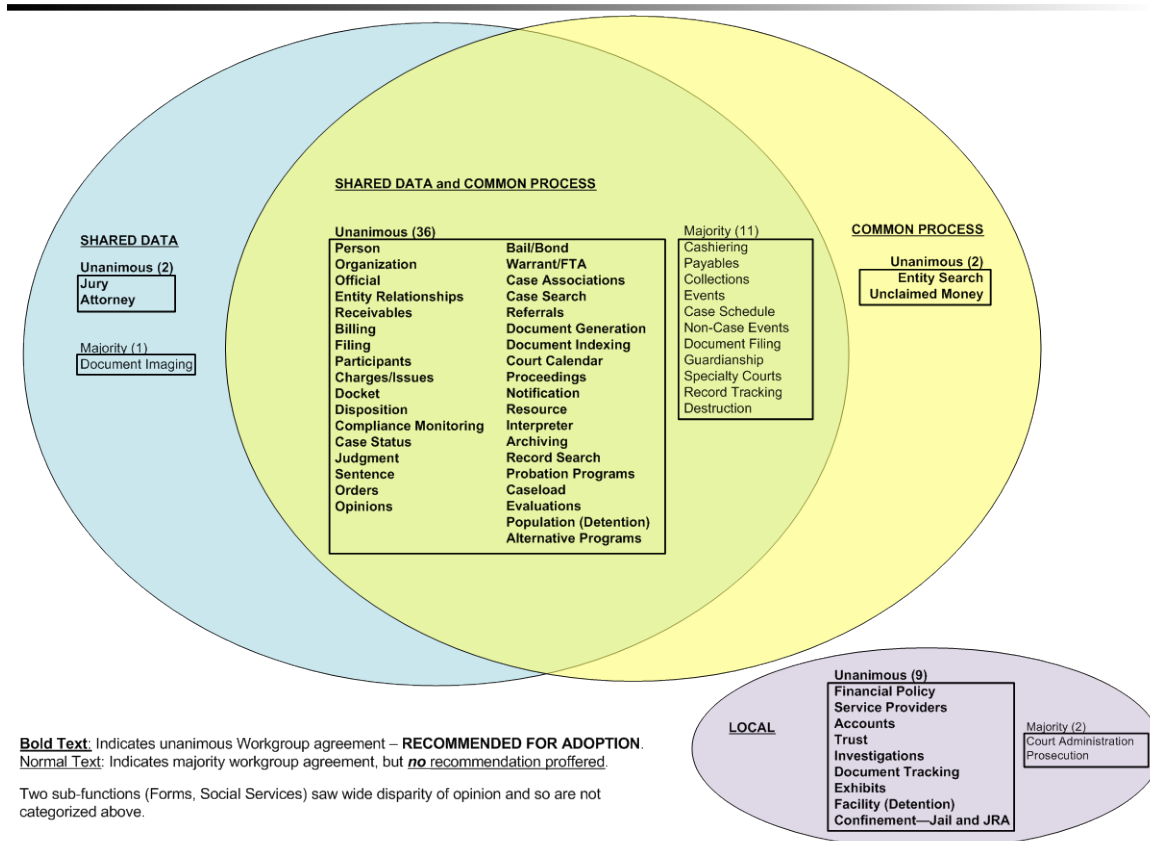
In its strategic planning efforts throughout recent years, the Judicial Information System Committee (JISC) has recognized the need to identify baseline services to guide development initiatives. The JISC established the JIS Baseline Services Workgroup in June 2010. The Workgroup began working in September 2010 and, guided by JISC’s direction, set the following goals:

- a. Establish a baseline set of AOC-provided services that provides maximum benefit to the court community, and makes it easier for local jurisdictions to meet their business needs.
- b. Develop criteria to identify centralized ownership of future business services based on state statutes and mandates, economies of scale, and funding models, as well as other appropriate standards.
- c. Develop a repeatable process that can be employed to apply the criteria in future analyses of business services.

Baseline Services

Over the course of several meetings, the workgroup identified eleven distinct court business functions, with each function composed of two or more business sub-functions. Each of these was carefully defined, as presented on page 9. Of those, the sub-functions shown in bold (indicating unanimous decision) in the following figure were determined to be baseline services.

SUB-FUNCTIONS CATEGORIZED BY SHARING REQUIREMENT



Criteria

The baseline services were identified based on a set of criteria which the Workgroup established to ensure objective and consistent analysis of each sub-function:

- (1) Mandated Requirements
- (2) Continuity of Service
- (3) Economies of Scale
- (4) Common Usage by Courts
- (5) Statewide Information
- (6) Common Information for Consistent Decision Making
- (7) Equity Regardless of Capability
- (8) Local Control
- (9) Local Court Rule or Practice
- (10) Funding Source

Repeatable Process

A modified Delphi approach was developed, in which examination was undertaken by the court experts in four successive iterations. This process maximizes the opportunity for achieving expert consensus, thereby converging to the best answer.

The first two iterations required detailed, independent scoring by Workgroup members of questions addressing each criterion as it applies to each of the 64 (eventually 65) sub-functions. Iterations 3 and 4 convened the experts to reflect again on each sub-function -- this time in a structured group-discussion-and-voting format aimed at illuminating earlier insights through the pooled expertise and rationale of the full group. Two innovations were introduced to promote a shared frame-of-reference:

- (1) Delineation of centralization [*hence, voting*] options into: (a) shared data, (b) common process, (c) both shared data and common process, or (d) neither data nor process.
- (2) Formalization of guidelines and principles which had been emerging throughout Workgroup discussions:
 - Results from previous iterations should inform, but not determine, votes in the current iteration.
 - The goal is to look to the needs of other court levels, as well as one's own.
 - "Central" can mean simply shared – it needn't include storage in a state repository. (Example: Images can be stored locally, but be accessible for statewide viewing.)
 - A common process applies if appropriate for at least a single court level.
 - "Common" denotes shared capabilities – not identical use of those capabilities. (Example: Common calendaring functionality can be configured locally.)
 - A determination of common data or common process reflects the vision for Washington's courts – a desirable future state.
 - Future examination of services and service components within sub-functions may be necessary for resolving continued disagreement regarding centralization needs.

Recommendations

Recommendation #1: The 40 high-level sub-functions unanimously identified by the Workgroup should be adopted as baseline services (2 shared data, 2 common process, 36 shared data and common process). See Appendix F.

Recommendation #2: The adopted baseline services should be referenced in planning of all court-information technology projects.

Recommendation #3: Routine review of both adopted JIS Baseline Services and the associated methodology should be undertaken on a regular cycle.

Recommendation #4: The ten criteria and associated measurement questions (Appendix A) should be adopted for future examinations of baseline services.

Recommendation #5: Criterion #1 (Mandated Requirements) should be examined as crucial context for baseline-service identification, but not employed directly in the scoring grid.

Recommendation #6: This methodology, with appropriate revisions, should be employed to impose rigor, precision, and objectivity on the process of baseline-service identification.

Recommendation #7: Guidelines and Principles developed in this effort should be adopted for use in future baseline-service investigations.

Options for JISC Regarding the 16 Undecided Sub-Functions: The Workgroup did not arrive at a recommendation for the 16 sub-functions on which agreement could not be reached. Several options are suggested for JISC consideration, including: adopting of the report and recommendations as they stand; making JISC decisions on the 16 undecided items, informed by this report; soliciting formalized majority and minority opinions for each of the unresolved sub-functions; and authorizing additional study.

Introduction

Background

The information systems supporting the Washington State Courts have evolved since the early 1970's from simple, single-jurisdiction, centrally-managed, stand-alone systems to an increasingly complex network of multi-jurisdictional, interdependent systems, managed and operated across multiple organizations. The evolution of these systems has been driven by the combination of centrally provisioned systems developed by the Administrative Office of the Courts (AOC) and independent development by local jurisdictions.

As part of various strategic planning and development initiatives over the years, the Judicial Information System Committee (JISC) has worked on the issue of what systems should be provided centrally and what systems should be locally provided or supported indirectly. These efforts have generally prescribed direction; however, there has been no consistent outcome in the decisions, nor development of criteria for making consistent decisions in the future. The JISC identified the need to do so in the *Strategic Plan Development for the State of Washington, Judicial Information System Committee*. The final report, dated May 2008, stated:

- The AOC and the JISC together should develop and define basic level functionality for Case Management Systems in Washington. Approaches addressing enhancements for larger jurisdictions should be developed.
- The issue of what services the AOC will provide for others in the justice system (e-tickets, e-filings) should be addressed as well.

Renewed discussion of the need to resolve these issues began in 2010. On March 5, 2010, in the context of IT Governance guidance, it was suggested that the JISC determine whether the general JIS focus should be on supplying applications with a base level of functionality for court business, or on maintaining a central data repository and data exchanges with local court applications. On May 19, the Committee discussed the basic model for focusing future IT investments. The committee also discussed the development of criteria to guide decisions on which court-business functions should be provided statewide (centralized) and which should be local (decentralized). The committee generally agreed on the following points:

- There should be a centralized system that provides a basic level of service to all courts in the state.
- Local courts with more sophisticated systems should be able to provide data to and receive data from the statewide database through data exchange.
- Defining the basic level of service has not yet been decided.
- The JISC should develop a set of criteria for deciding which business functions should be provided at the state level with JIS funding, and which should be maintained locally.
- Relative to the current effort to acquire calendaring and caseflow management functionality, the JISC needs more information about economies of scale and the cost/benefit of the two approaches before deciding on the basic model.

The JISC took formal action on June 25 when a motion was unanimously passed that the JISC:

- Maintain the current preference for centralized statewide JIS systems that provide a basic level of service to all courts in the state.
- Continue to develop data exchanges to connect local court applications with the statewide applications and databases.

- Define the basic level of service as the services currently invested in and provided by existing AOC JIS applications, data exchanges and services plus any customer requested changes approved for those systems, data exchanges and services.
- Work toward adopting a set of criteria to aid in future determinations of which business functions should be supported with statewide IT solutions and which functions should be supported with local IT solutions.

A second motion was also passed at this meeting creating a subcommittee to address bullets three and four of the motion above. A workgroup was formed from JISC volunteers, and the first meeting was held on September 21, 2010. Through July 2011, Workgroup members engaged in extensive independent analysis, and convened 13 times to deliberate and consolidate their individual assessments, arriving at the findings and recommendations reported here.

During September 2011, this report was vetted to stakeholder groups, including: the Superior Court Judges' Association (SCJA), the District and Municipal Court Judges' Association (DMCJA), the Association of Washington Superior Court Administrators (AWSCA), the Washington Association of Juvenile Court Administrators (WAJCA), the Washington State Association of County Clerks (WSACC), the District and Municipal Court Management Association (DMCMA), the Misdemeanant Corrections Association (MCA), the Court of Appeals and the Supreme Court. Other groups invited to review the report include the Access to Justice Board, and the Gender and Justice Commission. Feedback received from these groups is being presented with this report to the JISC.

Goals

Guided by the JISC directive, the Workgroup established the following goals to be achieved by the project:

- a. **Establish a baseline set of services that:**
 - (1) Provides maximum benefit to the court community
 - (2) Makes it easier for local jurisdictions to meet their business needs
- b. **Develop criteria to identify centralized ownership of future business services based on statutes and mandates, economies of scale, and funding models, as well as other appropriate standards.**
- c. **Develop a repeatable process that can be employed to apply the criteria in future analyses of business services.**

Methodology

Services

One of the Workgroup's first tasks was to develop a comprehensive set of core court business services. These were to include all business services, regardless of whether they are (or might be) provided centrally or locally. As a starting point for Workgroup discussion, AOC staff developed a draft set of services compiled from various sources, including the National Center for State Courts, AOC Data Administration's Information Strategy Plan, and subject-matter expertise available within AOC.

Over the course of several meetings, the Workgroup defined eleven distinct court business functions, with each function composed of two or more business sub-functions. Initially, a total of 64 separate business sub-functions were defined within the eleven court business functions; as work proceeded, a 65th was eventually added. (See table below.)

AOC staff began to further decompose sub-functions into services and service components. The resulting list exceeded 350 items. Discussion within the Workgroup concluded that this level of service definition was overly detailed. It was determined it would be appropriate to focus on the eleven functions with 64 (eventually 65) sub-functions. Future technology development will likely require more granular analysis, and that will be enabled by the guidance and framework (criteria and methodology) established in this project. The functions and sub-functions, with their corresponding definitions, are presented in the following table:

Functions and Sub-Functions, Defined

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| COURT | The Court function includes the sub-functions needed for managing and supporting the Court in carrying out its business mission. |
| COURT ADMINISTRATION | The Court Administration sub-function involves services needed for managing and supporting Court operations. Services include case management as well as management of IT and HR. Additionally services include development, revision, publication and distribution of court rules, policies, procedures and forms. Guardianship and interpreters are <u>not</u> included here. (See: Programs). (Although Court Administration also needs calendaring, Calendars are considered as a separate function; exclude here.) |
| FINANCIAL POLICY | This sub-function supports the accounting and financial operations of a court. Services include budgeting and expense management; service fee and chart of account development; and management of financial programs. |
| SERVICE PROVIDERS | The Service Provider sub-function focuses on management of external organizations (third party commercial and/or public agencies) providing various kinds of service to the courts. Types of services provided include indigent defense, psychological evaluation, drug testing, interpretation, counseling, and training. Services provided under this sub-function focus on qualification, contract management and payment of providers. |
| JURY | The Jury sub-function involves all services related to master list creation, summoning prospective jurors, selection, empanelment, service postponement, tracking, and payment. |
| ENTITY | The Entity function captures all sub-functions associated with managing persons, organizations and officials. This includes searching, identification, adding, deleting, associating, and other person related processes in the court environment. Entities include judicial officers, individuals, businesses, organizations, victims, litigants, parents, attorneys, defendants, and court staff. |
| PERSON | The Person sub-function focuses on the services involved in identifying, adding, and maintaining person records. Person records include personal identifiers and address information. A person is any entity associated with a court case or court activity; this includes individuals, businesses and organizations. |

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| ORGANIZATION | The Organization sub-function focuses on services needed for creating and maintaining organization person records. -Organization types include court, city, county, law enforcement, state agency, school district and detention facility. |
| OFFICIAL | This sub-function provides for creation and maintenance of officials' person records. An official person record must exist in the system before that person can be granted security as a system user or be associated with a case as a participant. Court users, judicial officers, law enforcement officers and probation officers are types of JIS officials. |
| ATTORNEY | The Attorney sub-function focuses on creation and maintenance of attorneys as a type of official. Attorney information is updated automatically from the Washington State Bar Association. |
| ENTITY RELATIONSHIPS | The Entity Relationships sub-function covers the services needed to tie persons together indicating some form of relationship and maintaining that relationship. These are family / household relationships, i.e. parent and child. This sub-function also includes activities needed for AKA maintenance. |
| ENTITY SEARCH | The Entity Search sub-function allows for the searching for persons based on a variety of variables. Services provided include phonetic search, alphabetic search and search of DOL records. |
| FINANCE | The Finance function includes all sub-functions that support the accounting and financial processes at a Court. |
| CASHIERING | The Cashiering sub-function addresses the collection of funds, issuing of receipts, cashier closeout and cashier management. Funds are collected from parties and their representatives who submit payments required by the court. Receipting (cashiering) functions can be performed at the cashiering station at the front counter in the clerk's office if payments are made in person or electronically or by mail. Funds received include trust deposits, service fees, fines and bail payments. |
| ACCOUNTS | This sub-function addresses the services associated with establishing, maintaining, and tracking bank accounts (as opposed to case accounts) and performing ancillary tasks such as accruing interest, reconciling accounts, producing journals and reports and other end of period activities. |
| PAYABLES | The Payables sub-function focuses on the activities at a court related to the disbursement of case-related funds to owed parties (e.g., restitution). Payables disbursement consists of trust payments, remittances to government entities, and returns to payees. |
| RECEIVABLES | The Receivables sub-function focuses on the services at a court related to the creation and management of accounts, most often case related, for money owed to the court. Services include the creation of payment schedules, application of funds to amounts due and monitoring overdue accounts. Unlike the separate sub-function, Trust, receivables are retained and are subject to the appropriate splits (law library, JIS, PSEA, etc.). |
| TRUST | This sub-function involves services associated with funds deposited with the Clerk by litigants, to be held in trust during the litigation or for payment to a beneficiary by court order. These funds do not belong to the county and must be deposited in a separate Clerk's trust fund in accordance with the statutes and rules. Services include establishing and maintaining trust accounts, accruing interest, reconciling accounts and managing deposits, transfers and disbursement. |
| BILLING | The Billing sub-function includes services needed to bill parties who owe money to the court. |

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| COLLECTIONS | The Collections sub-function focuses on the services related to account receivable collections. This includes sending notifications to owing party, assigning A/R to a collection agency, tracking payment history, and collections management. |
| UNCLAIMED MONEY | This sub-function includes services necessary for escheating non-restitution unclaimed funds to the State Department of Revenue and remittance of unclaimed restitution to the County Treasurer. Services include identification of eligible money, modifying eligible trust accounts, and disbursing funds to the DOR or County Treasurer. |
| CASE | The Case function includes all sub-functions needed to process and manage Court cases. |
| FILING | The Filing sub-function focuses on the services needed to create a new case. Services include receipt and acceptance of initial case documents, identification of case type, assignment of case number, creation of case title, and entry of the case identifier into a searchable repository (such as JIS). Initial case documents may be received electronically or in hard copy. |
| PARTICIPANTS | The Participants sub-function provides services for assigning specific people to cases. Assigning participants links persons, organizations and officials (created through Entity function) to actual cases. Participant roles in the case are identified. Services include the addition, maintenance, removal of parties to a case. |
| CHARGES / ISSUES | This sub-function includes the services necessary for entering charges or issues related to a case. For criminal cases this service involves recording and amending an information and charges included in it. For non-criminal case the service provides for recording and tracking the issues or dispute category for the case. |
| DOCKET | The Docket sub-function provides the services needed in the creation and maintenance of the legal record of court actions taken and documents filed in a particular case. Docket includes a record of document received and issued, and future and past events such as hearings and other proceedings. |
| DISPOSITION | The Disposition sub-function supports the decision making process in the courts. It is made up of the services needed to enter the resolution and completion outcomes of a case. |
| EVENTS (including Compliance Deadline Management) | The Events sub-function focuses on those services that support management of case events, and involves services necessary to track and enforce due dates for events in a case as set forth on the case schedule. (Defendants' compliance with sentences/orders is not included. See: Compliance Monitoring.). This includes confirmation of notice/warrant service, all case/court papers have been filed timely, and that all actions have been completed before a participant steps into the court room. These services help facilitate all the prehearing/pretrial events. These services revolve around the documentation of events (record the outcomes) of hearings: actions taken, and follow up on actions to perform. Recorded outcomes of events include clerk minutes, capturing the outcome of the event (Continuance, Stricken, Court Order, etc.) in a searchable/selectable format, not just a note in a docket entry. This sub-function includes events necessary to track case-management status (active/suspense) history. |
| CASE SCHEDULE | This sub-function focuses on services supporting assignment of a case to a differential management track or time sensitive processing and producing a schedule listing the events and dates by which events will occur. |
| COMPLIANCE MONITORING | This sub-function supports the tracking, monitoring, and recording of the compliance of pre-and post disposition orders, sentencing, conditions, treatment options, and other items that are required to be completed. |

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| CASE STATUS | This sub-function addresses services necessary for the automatic tracking and logging of periods of case activity and periods of case suspension (time when the case is out of the court's control, such as when it is stayed, or on warrant, appeal, in mediation, or in arbitration). Case status provides for appellate time-in-process reporting, and allows for trial-court case management in compliance with the case processing time standards. Services under this sub-function also support recording the stage at which a case is in processing, such as active, stayed, resolved, complete or closed. |
| JUDGMENT | This sub-function focuses on services needed to record information about the court's findings and judgment for a case. Includes both criminal and civil judgments. Services support electronic judgment documents, electronic distribution and creation and maintenance of a judgment index. |
| SENTENCE | The Sentence sub-function involves services to produce and maintain sentence information that shows for each case, defendant and charge the terms and conditions of the sentence imposed. Additionally, services support electronic sentencing document and electronic distribution to external recipients as needed. |
| ORDERS | This sub-function provides services for the creation, display and distribution of court orders resulting from hearings and other judicial proceedings. Services support the ability for a judge to approve (sign) orders electronically and to electronically distribute court orders. This sub-function includes entry of pertinent data from orders (such as DV) that must be available for reference by judges statewide. |
| OPINIONS | The Opinion sub-function addresses the services associated with managing and tracking the opinion process from initial assignment through drafting, circulation among justices, release and publication. This sub-function also addresses support for electronic opinions and opinion version control. |
| BAIL / BOND | This sub-function includes the services associated with bail management (e.g. collecting bail money, bail bonds, and producing receipts and reports). |
| WARRANT / FTA | The Warrants / FTA sub-function involves services for issuance and tracking of warrants and FTA orders. Services for warrants support issuance, tracking, and distribution of warrants to law enforcement agencies. Services of FTA support selection of FTAs, issuance of orders and transmission of case information to DOL. |
| CASE ASSOCIATIONS | The Case Associations sub-function includes the services needed for establishing and maintaining case to case and case to person relationships. Activities include maintaining conflict of interest information, judge assignment history and attorney assignment history. Further, support is provided for linking cases. |
| CASE SEARCH | The Case Search sub-function provides the ability to search for case information. |
| PROSECUTION | The prosecution sub-function includes all activities performed at the prosecutor's office to research, investigate, file and prosecute cases. |
| NON-CASE | The Non-Case function includes sub-functions to manage activities in the court that are not case-related. |
| INVESTIGATIONS | The investigations sub function provides services for supporting investigations and court processing of search warrants and other non-case activities. |
| REFERRALS | The Referrals sub-function involves the services for creating, tracking and managing offender and non-offender referrals. Referrals are either filed (case), not filed, or diverted. |

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| NON-CASE EVENTS | This sub-function involves services that support pre-case filing activity such as first appearances and probable cause. |
| DOCUMENTS | The Document function includes all sub-functions related to the processing of physical documents (paper or electronic) in the court environment. |
| DOCUMENT GENERATION | The Document Generation sub-function addresses services to produce a number of standard, pre-formatted documents. Some of these documents are warrants, orders, notices, summons, and subpoenas. Services support generating paper and electronic documents. This sub-function should interface with the Docket and Proceedings sub-functions. |
| DOCUMENT FILING | The Document Filing sub-function focuses on the services needed to receive a physical document (paper or electronic) from a party to a case. Services include recording on the document the data of receipt and filing the document in the appropriate location (paper file or electronic repository). An entry is made using services under the Docket sub-function when a document is received. |
| DOCUMENT TRACKING | This sub-function focuses on the services associated with recording and updating the status of all sent or served documents. |
| DOCUMENT IMAGING | The Document Imaging sub-function involves services associated with creating and retrieving an image of a paper document. Service includes ability to link the document image with the docket entry for the document. |
| FORMS | The Forms sub-function revolves around the services needed for creation, maintenance and distribution of forms used by the courts. |
| DOCUMENT INDEXING | This sub-function focuses on the services to create and maintain an index of documents that contains basic information about the document such as case number or filing date. Services also provide the ability to search for and display documents using various pieces of information associated with the document. |
| CALENDAR | The Calendar function includes sub-functions that support developing a court's calendar, scheduling case proceedings, notification and resources management. |
| COURT CALENDAR | The Court Calendar sub-function focuses on the services needed to create and maintain a scheduling template/structure for a court. These services include the capability to related proceeding types with certain time periods (sessions) when they will be heard; parameters can be set for sessions, such as maximum number of proceedings per session. Further, the services provide for assigning resources (Judicial Officers, court rooms, staff, equipment, etc.) to sessions. |
| PROCEEDINGS | The Proceedings sub-function includes the services associated with scheduling proceedings, maintaining and displaying information on scheduled proceedings and preparing, formatting and distribution of court calendars. These services encompass all proceedings in which arguments, witnesses, or evidence is considered by a 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. |
| NOTIFICATION | This sub-function includes the services associated with generating and distributing notices of scheduled proceedings to case participants. |
| RESOURCE | The Resource sub-function focuses on the services needed to maintain different types of resources and resource availability. Resources include Judicial Officers, equipment, court rooms, support staff and Interpreters. Services include maintaining judicial officer schedules and assignment history, establishing judicial panels, and assignment of other resources to calendar sessions. The Resources sub-function is closely linked with the Court Calendar sub-function. |

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| PROGRAMS | The Programs function focuses on sub-functions involving state and local programs that support the court. |
| GUARDIANSHIP | The Guardianship sub-function involves services necessary to track certified professional guardians. |
| INTERPRETER | The Interpreter sub-function involves services needed to track and schedule certified and registered court interpreters. |
| SPECIALTY COURTS | This sub-function involves the services needed to support the development and operation of specialty, problem-solving courts such as Drug Court and DUI Court. |
| RECORDS | The Records function is focused on the sub-functions necessary for management of court records, including physical case files, managing and processing exhibits, and management of court proceeding recordings. |
| RECORD TRACKING | The Record Tracking sub-function involves the services needed to track files including label generation, location, and status (i.e. restricted access). Services provided for expunging or sealing court files. |
| EXHIBITS | The Exhibit sub-function focuses on the services needed for receiving, identification, storing, and disposition of court exhibits and evidence. Services include recording receipt, identifying and linking to cases, tracking storage location, generating notices and return, disposal or destruction of exhibits. |
| ARCHIVING | This sub-function includes services for managing inactive physical and electronic files including file location, file summaries, and expected destruction dates. |
| DESTRUCTION | The Destruction sub-function focuses on services related to tracking files that have been destroyed. |
| RECORD SEARCH | This sub-function includes the services that support locating and retrieving both physical and electronic case records. |
| COMPLIANCE MONITORING | The Compliance Monitoring function involves those sub-functions that support both (1) pre-disposition monitoring, and (2) post-disposition -- the management of defendants released from confinement but still under court supervision. |
| PROBATION PROGRAMS | This sub-function involves the creation, maintenance and evaluation of probation programs for both juvenile and adults. |
| CASELOAD | This sub-function includes the services that support monitoring a person on probation, subject to certain conditions and under the supervision of a probation officer. Services include the establishment, tracking, and monitoring of the conditions of predisposition release and probation conditions and terms imposed at sentencing. |
| SOCIAL SERVICES | This sub-function involves the interaction, tracking and status reporting of probationers' interactions with service providers. |
| EVALUATIONS | This sub-function includes the services that provide access to/integration with existing tools used to perform an assessment of an individual to support decisions made concerning release and sentencing. The assessment includes identifying whether the person is a risk to self, or others, and to assist with the management of risk of harm. Adult and juvenile risk assessment is included. |
| CONFINEMENT -- DETENTION | The Confinement function includes the sub-functions that support the Court's management of juvenile detention (offenders, truants, and minors detained for their protection). |
| POPULATION (Detention) | The Population sub-function includes services that support activities and actions around juvenile detention. These services include admission, |

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| | release, tracking, and health-assessment. (Risk assessment is excluded, as it is addressed under Evaluations.) |
| FACILITY (Detention) | The Facility sub functions supports those services for managing locations, buildings, staff, security, and other items needed to support the confinement operations. |
| ALTERNATIVE PROGRAMS | This sub-function includes services for tracking juveniles enrolled in alternative programs (e.g., electronic home monitoring, work crew, group home, etc.). |
| CONFINEMENT -- JAIL and JRA | The Confinement function includes the sub-functions that support the Court’s management of juvenile jail and JRA. |

Criteria

In a parallel effort to defining services, the Workgroup developed criteria which would serve as the basis for determining whether a service is centralized or local. The workgroup considered different approaches to criteria. One approach would be to declare all services as centrally provided; then criteria that focused on “qualifying” a service as local would be developed. Another approach would be to declare all services local unless “qualified” as a central service, based on criteria. It was decided that both approaches have merit, but fail when there are both central and local criteria that support a specific service. An approach which blends both central and local criteria is necessary. Following examination and deliberation, the workgroup adopted ten criteria, as follow:

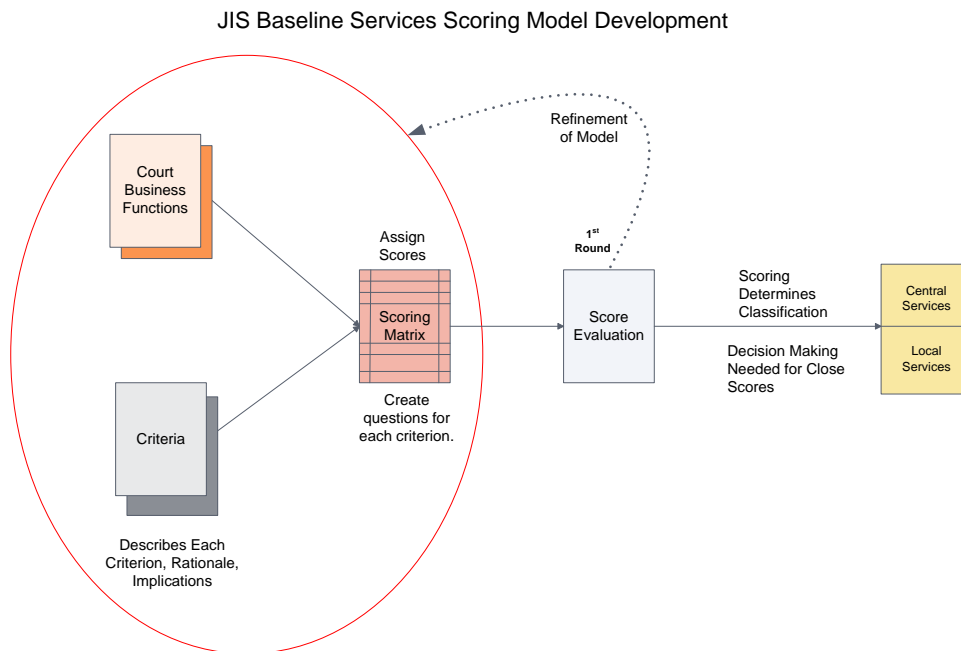
1. Mandated Requirements
2. Continuity of Service
3. Economies of Scale
4. Common Usage by Courts
5. Statewide Information
6. Common Information for Consistent Decision Making
7. Equity Regardless of Capability
8. Local Control
9. Local Court Rule or Practice
10. Funding Source

Rationale and descriptions for each of the criteria are presented in Appendix A.

Scoring Model

Once the court business functions were identified and the criteria to classify them were defined, the Workgroup worked to determine the best way to apply criteria to functions. One way is for decision-makers to sit together and discuss how the criteria fit a particular business function. This approach is very subjective, poor for comparing one function to another, and lacks consistency across evaluated functions. The Workgroup concluded that a tool is necessary to more objectively and consistently measure the level at which the criteria apply to a business function. The graphic below (Figure 2) depicts the process of the workgroup in developing a model tool for future scoring:

Figure 2: Scoring Model Development



First, for each criterion one or more questions were created to elicit responses about how the criterion applies to the business sub-function being evaluated. (See Appendix A for questions identified for each criterion). The criteria and related questions were then entered as rows into a scoring matrix, and the business sub-functions were listed in the columns. (The scoring matrix was created as a series of spreadsheets within an Excel workbook, which allows Workgroup members to enter scores directly, assisted by system edits and on-screen help. See Appendix B for an illustration of the scoring matrix.)

The questions under Criterion #1, “Mandated Requirements,” ask *“Is there a mandate (statute, court rule or regulation) that the service be provided centrally or locally?”* If the answer is “Yes,” no further scoring of the sub-function is done; the mandate is deemed sufficient to determine the matter of central or local provision. If the answer is “No,” scoring for the remaining criteria continues. Each question under each criterion is assigned a numerical score. Numerical weights were assigned to the criteria, reflecting each criterion’s relative impact toward a decision for centralization. In addition, every question other than those for Criterion #1 is designated as a “process” or “data” question.

After the questions are answered, each criterion has a raw score (total for all questions), an average score, and a weighted score (criterion weight applied to the average score). The scores for all criteria are used to compute a score for the sub-function. In addition, sub-functions have weighted “process-centralization” and “data-centralization” scores. These scores result from the designation of questions as either process or data questions. The weighted scores for each sub-function are normalized on a scale from 1 to 100. As scores increase, the basis for centralization increases. A normalized score of 100 would indicate a sub-function that should be fully provided centrally; inversely, a sub-function with a normalized score of 1 would recommend local provision.

Scoring & Evaluation

Once complete, the scoring matrix was tested to see if it “works” – that it classifies functions as intuitively expected or as rationally comprehensible. To test the scoring matrix, Workgroup members – each working independently – scored every question across all sub-functions. The completed matrices from the workgroup members were aggregated into one matrix displaying the compiled scores.

Workgroup members reported that the scoring was demanding. It required considerable time and scrutiny. Evaluation of individual and compiled scores revealed that the scoring was affected by the scorer’s interpretation of questions, as well as scorer’s perception of the scope of each sub-function. As a result, there was considerable variation between individuals’ responses, as well as inconsistencies within individual assessments.

Following minor revisions to the scoring matrix, and to capitalize on Workgroup learning during the first round of scoring, a second round of scoring was undertaken. Although results indicated some convergence in views, it was modest. Considerable variation in individuals’ assessments remained, leaving insufficient agreement to draw any conclusions regarding Washington State’s baseline services. Furthermore, members reported lack of confidence in their own, individual scorings, and expressed a need for greater understanding of the sub-functions as they operate in court levels other than their own.

Modified Delphi Method

To address these concerns, a modified Delphi method was employed. The method seeks expert input from Workgroup members in successive rounds. This iterative process aims to (1) hone thinking as individuals, and (2) ultimately converge as a group to the best answers. Based on learning and perspective acquired from earlier iterations, experts are likely to revise their earlier determinations during successive rounds. This maximizes opportunity for both individual and group learning, and for achieving expert consensus – which thereby arrives at the best answer.

Having completed two iterations (two rounds of individual, detailed scoring of each sub-function against a set of criteria), Workgroup members embarked on a group exercise to reflect again on each sub-function – leveraging their expert intuition plus insights gained from earlier iterations – to make a fresh, but informed, assessment for each.

Paddle Vote

Dubbed the “paddle vote,” this technique employed voting paddles used by each member to visually signal for each sub-function whether it should be centralized with respect to:

- (1) **Data** -- *indicated by raising a blue paddle*
- (2) **Process** – *indicated by raising a yellow paddle*
- (3) **Both data and process** – *indicated by raising both paddles*
- (4) **Neither data nor process** – *indicated by raising neither paddle*

A scoring-summary document (see Appendix E, “Court Business Function Scoring Summaries”) was provided to each Workgroup member as a reference. For each sub-function, it displayed: (1) sub-function definition, (2) scoring-grid results for selected questions addressing the “fit” of the sub-function to the criteria, (3) aggregate, normalized scores for process and for data. Members were encouraged to consider, but not be driven by, the scores. Departure is appropriate where insight has expanded and learning has occurred.

With this reference, voting proceeded. Following each vote, members with differing views explained their rationale, and a re-vote was immediately conducted. The rationale statements and results of the re-vote were logged, and (regardless of outcome) discussion moved to the next sub-function until all sub-functions had been reviewed, briefly discussed, and voted upon.

Complete instructions for the paddle vote are available in Appendix C.

This round resulted in notable convergence of views relative to prior (scoring-grid) rounds, with unanimous decisions having emerged for 56% (37) of the sub-functions. Following adjournment, results were recorded on the scoring-summary document, and distributed to members with a request to review the votes and rationale statements.

Guidelines & Principles

Over the course of the Workgroup's scoring and voting iterations and extensive discussions, a number of guidelines and principles emerged. These were documented for easy reference in the final iteration (see "Resolution Round" below), and are as follows:

GUIDELINES & PRINCIPLES

FOR DETERMINING JIS BASELINE SERVICES

1. The normalized total scores summarize the individuals' initial responses, which were based on specific criteria so as to minimize bias and subjectivity. **The normalized total scores should inform, but not wholly determine, today's votes.** This approach capitalizes on the best of experts' analysis and their intuitive understandings, as well as leverages the individual and group learning that has occurred through successive iterations.
2. The Workgroup's goal in this collective analysis is to rise above the single court level each represents, and **look to the needs of other court levels**, as well.
3. **The appellate courts are statewide courts.** Since AOC is their service provider, the Supreme Court and Court of Appeals may have some AOC-provided functions which may not rise to the level of inclusion in the core baseline services established for *all* courts.
4. **"Central" can mean simply shared** – it needn't include storage in a state repository. For example, images might be stored locally, but made accessible for viewing by others statewide.
5. **A common process (or shared data) does not require that every court level participate**, but rather only that the process or data be common at least across a single court level.
6. **"Common" denotes shared capabilities – not identical use of those capabilities.** For example, all courts have to calendar, and require the same capabilities (establishment of different types of calendars, assignment of resources, etc.). How each court employs those capabilities (configuration) can differ, yet remain within the meaning of "common process."
7. A determination of **common data or common process reflects the vision for Washington's courts.** It establishes a desirable future state. But it does not dictate that the common data or process will necessarily be built. Prioritization and resources will

continue to play an important role in determining what's included in any immediate and future development.

8. When consensus is not achieved, it may be due to the high level at which these sub-functions have been assessed. **Future examination of services and service components within the sub-functions might assist with attaining consensus.**

Resolution Round

In the fourth and final iteration, the Workgroup was reconvened to collectively review the votes and rationale statements for the sub-functions for which disagreement continued. Members were equipped, additionally, with the documented **Guidelines & Principles** (see Appendix D) which had emerged over the Workgroup's months of deliberation.

For each sub-function, and following review of prior votes and documented rationale statements, members in the minority were asked to consider whether (1) they have been persuaded and could change their vote, (2) they could consent to the majority view ["could live with it"], in recognition of a different court level's need, or (3) they continue to disagree and could not, in good conscience, consent.

By the end of this final round, consensus climbed to 75% (49) of the sub-functions. Another 14 sub-functions (22%) had only moderate divergence of opinion, with no more than two persons in the minority (and that minority aligned, sharing one view). Only 2 sub-functions (3% of the full set) remained widely divergent with a minority of three persons or a minority that was not internally aligned.

Findings

By conclusion of the project, the Workgroup made strong, unanimous decisions regarding 49 of the 65 sub-functions that were identified. For another 14 of the 65 sub-functions, a clear majority viewpoint emerged.

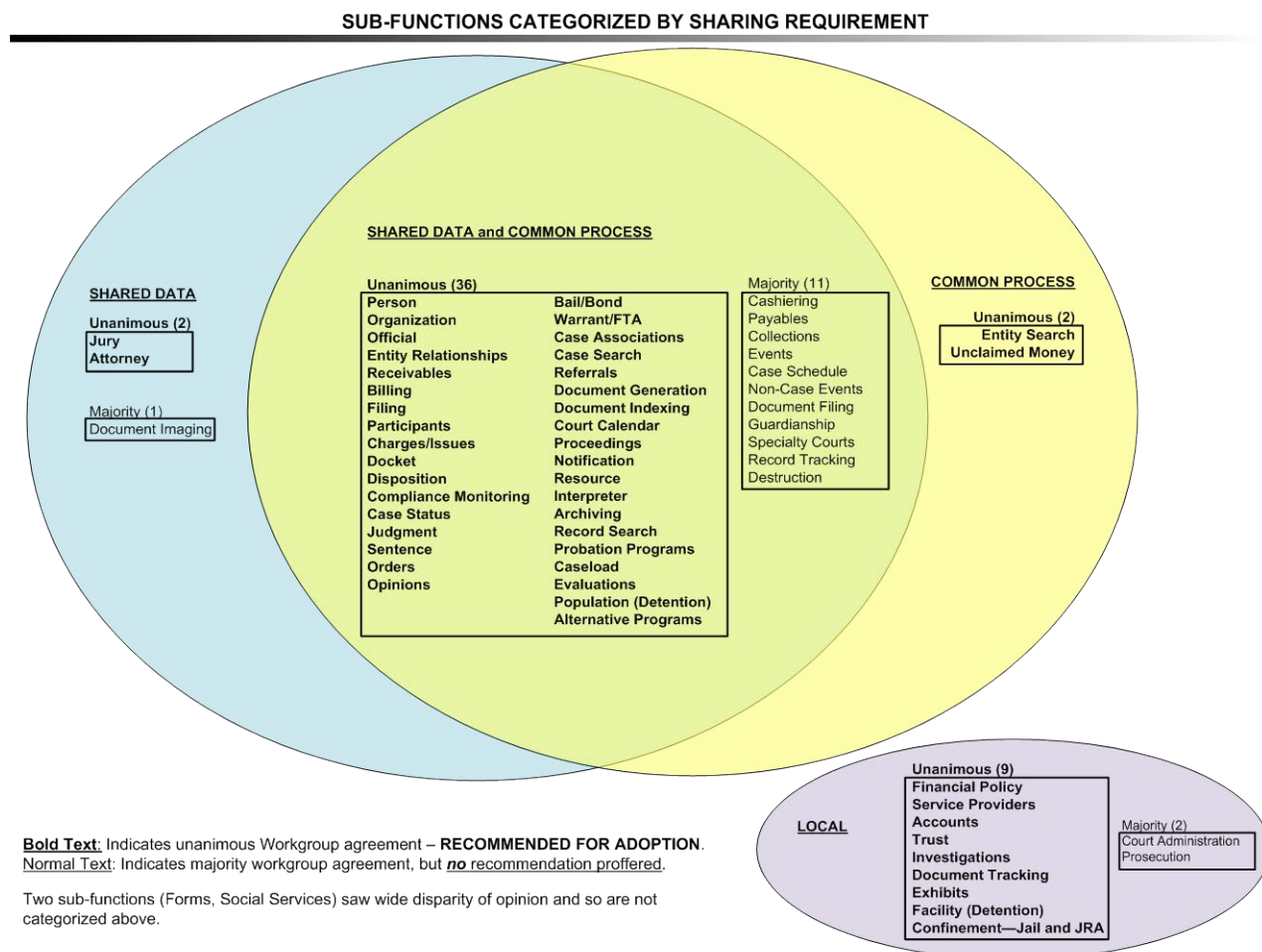
It bears noting that these decisions don't, in many instances, correspond well to scores assigned in the detailed scoring grid during the first two iterations. That is not a wholly surprising outcome, since:

- (1) Consistent with the nature of a Delphi methodology, considerable individual and group learning occurred between the scoring activity and the votes. Members were instructed to not be constrained by earlier views if their understanding had changed.
- (2) This Workgroup's review of the full breadth of business functions imposed a degree of confusion and uncertainty. Definitions of sub-functions evolved as members worked to identify exhaustive and non-overlapping items. In future endeavors, the business functions under scrutiny would likely be fewer in number and narrower in scope. This would enhance the Workgroup's ability to fully explicate the nature of function(s) to better inform consistent and reliable scorings.

Both unanimous and majority final decisions are presented in this section, albeit distinctly -- and with the caveat that lack of persuasion of even a single member of the Workgroup may signal the need to examine more closely which elements *within* a sub-function are appropriate for statewide development, and which can be provided locally. Additional examination at a more granular level (components within sub-function) could be brought to bear on all non-unanimous

sub-functions. This is a natural starting point for the recommended continuous review and evolution of JIS Baseline Services and of this model for identifying those services.

Figure 3 illustrates the Workgroup’s identification of baseline services. (An enlargement is available in Appendix G.)



Shared Data: Two sub-functions (jury and attorney) were recognized by the unanimous Workgroup as requiring shared data (but not process). One additional sub-function (document imaging) was identified by a majority – but not the full Workgroup – as requiring shared data.

Common Process: The Workgroup was of single mind regarding sub-functions which require a common process (uniform standards and shared procedures) but not shared data. Entity search and unclaimed money were determined to fall in this category.

Shared Data and a Common Process: The majority of sub-functions were determined to require both shared data and a common process. A total of 36 were unanimously identified as falling into this category, with an additional 11 categorized this way by a majority of the Workgroup.

Local (neither shared data nor a common process): The Workgroup unanimously identified 9 sub-functions which should be provided locally. A majority (but not the full Workgroup) included 2 additional sub-functions in this category.

A listing of sub-functions in each of the categories is available in Appendix F. Detailed evaluations of all sub-functions (including votes by member, voting rationale statements, and normalized process and data scores) are available in Appendix E, “Court Business Function Scoring Summaries.”

Recommendations

The Workgroup established, and set out to accomplish, three goals: (1) identify a baseline set of services to provide maximum benefit to the court community and to make it easier for local jurisdictions to meet their business needs; (2) develop criteria to identify centralized ownership of future business services; and (3) develop a repeatable process that can be employed to apply the criteria in future analyses of business services.

The Workgroup has accomplished these goals, although with remaining opportunity for improvement. An excerpt from the final meeting of the Workgroup provides detailed member commentary on the methodology and its prospects for repeatability. (See Appendix H.) Key recommendations fall into three areas:

1. Baseline Services

Core baseline services – at a high level – have been established through the unanimous identification of two sub-functions requiring shared data, two requiring common process, and 36 requiring both shared data and a common process. In addition, 9 sub-functions were unanimously identified as services appropriate for local (rather than statewide) provision. The Workgroup recommends adoption of this set of 40 sub-functions as core baseline services, and endorsement of the 9 local services as residing outside the JIS baseline.

Despite extensive discussion and analysis, the Workgroup did not reach agreement on classification of the remaining 16 sub-functions. Strong majority – but not unanimous -- opinions emerged for 14 of those 16 sub-functions, while the remaining 2 sub-functions were more widely divergent. The Workgroup was divided as to whether majority-supported items should be recommended to the JISC for adoption. Although a portion of the Workgroup was in favor of the closure which could be achieved through majority rule, others had concerns about risks of majority rule, including:

- Lack of persuasion of all Workgroup members may signal that those sub-functions were too high-level to be identified as either wholly statewide or wholly local. It’s possible that analysis at a more detailed level (decomposing those sub-functions into components within) might be instructive.
- A majority-rule approach might be vulnerable to politicization and/or to disenfranchisement of the stakeholders who fall in the minority.

As a consequence, the JIS Baseline Services Workgroup is advancing no recommendation concerning the 16 non-unanimous sub-functions. Instead, the Workgroup is offering a range of actions the JIS Committee may wish to consider. (See “Options for JISC Regarding the 16 Undecided Sub-Functions,” following all recommendations, below.)

As noted, all sub-functions are composed of a number of services which, in turn, are composed of a number of service components. For example, the collections sub-function breaks down into notifications to owing party, assignment of A/R to a collection agency, tracking of payment history, and collections management. Further examination at this greater level of detail for all

sub-functions is crucial to addressing the complex challenges of planning cost-effective information systems which serve court business needs.

Additionally, it is recognized that court business and the needs of court stakeholders will continue to develop and change. Therefore, baseline services – as well as the process employed to identify them -- should be routinely and continuously examined to ensure alignment with courts' evolving priorities and requirements.

Recommendation #1: The 40 high-level sub-functions unanimously identified by the Workgroup should be adopted as baseline services (2 shared data, 2 common process, 36 shared data and common process). See Appendix F.

Recommendation #2: The adopted baseline services should be referenced in planning of all court information-technology projects.

Recommendation #3: Routine review of both adopted JIS Baseline Services and the associated methodology should be undertaken on a regular cycle.

2. Criteria

Ten criteria have been established to provide consistent and objective analysis of business services. Questions have been developed and implemented to provide measurable assessments of the fit of each criterion to the business service under review. At completion of this project, there was general agreement that the criteria and corresponding measurement questions had injected necessary scientific rigor and objectivity into the analysis.

However, as experience was gained with the evolving scoring tool, the Mandates criterion (and associated measurement questions) proved to be problematic. Investigation into current statewide mandates identified several statutory and court-rule requirements, but many of these are “ends” oriented – specifying outcome and/or standards, but not dictating the operational procedures for attaining those ends. For example, General Rule 30 requires that the Judicial Information System Committee adopt standards for electronic filing of court documents. It does not detail whether electronic filing should be managed centrally or locally. Inclusion of the mandates criterion in the scoring grid invited imputation beyond the actual letter of the requirement, and it stifled further analysis of the sub-function against the other criteria. It is recommended that future uses of the baseline services criteria include researching of any applicable mandates as important context, but that the Mandate criterion not be employed in the scoring grid.

Recommendation #4: The ten criteria and associated measurement questions (Appendix A) should be adopted for future examinations of baseline services.

Recommendation #5: Criterion #1 (Mandated Requirements) should be examined as crucial context for baseline-service identification, but not employed directly in the scoring grid.

3. Repeatable Process

This Workgroup's experience applying the criteria to business services yielded several observations and suggestions. (See Appendix H for a complete discussion.) There was general agreement that the methodology was valid and precise; its rigor was crucial in identifying services objectively, rather than politically.

The group dynamic and the cross-member education that occurred during the paddle voting and resolution round were appreciated by Workgroup members. But some concern was expressed that the process ultimately placed some coercive pressure on those in the minority to conform their votes to the majority view.

Completing the scoring grids was difficult, intense, and time-consuming for individual scorers. In part, this resulted from the lack of a shared understanding among evaluators as to interpretation of the questions and scope of each sub-function. This lack of a frame-of-reference contributed to individual scorers' expressed lack of confidence in their own responses, and their discomfort was validated by internal inconsistencies which showed up within each individual's scores. In addition, without a shared understanding, independent scores from multiple evaluators cannot validly be compared. Workgroup members suggested that undertaking the individual scoring exercises **after** at least one round of group voting and discussion would help to establish the necessary frame-of-reference that would streamline responding to the scoring grid. This re-sequencing would also provide some useful early education in the operation of the sub-functions in court levels other than one's own. Undertaking the scoring grid after some general understandings have been developed should make the scoring task less onerous.

There was disagreement among members as to whether expanding Workgroup size would be useful. Some felt it would ease the responsibility of representing an entire court level, ranging from very small to very large courts. It was also suggested that a larger group would permit inclusion of operational staff to augment the big-picture views of the executive-level members who actually vote. But others felt that would deflect discussions away from the visionary focus required. The suggestion to increase Workgroup size was countered by the observation that to do so would risk greater politicization and polarization of the process.

No conclusion was reached as to whether this project would have benefitted from the Workgroup's having assessed priorities, along with identifying the baseline services. Those in favor of undertaking prioritization saw that as a way to effectively manage the large proportion of sub-functions which were ultimately identified as central. Others, however, thought prioritization correctly falls outside of this effort; governance groups determine priority, given resources and other constraints, and this Workgroup should remain focused on the vision.

In future endeavors, a high-level demonstration of each court level's existing case-management system is recommended. This would have provided valuable context for discussions.

Any future re-use of this process would benefit from adoption of the guidelines and principles at the outset of investigations (see Appendix D, *Guidelines and Principles*). This workgroup had the unenviable task of gradually ferreting out and negotiating these principles while simultaneously (but perhaps unwittingly, and often in contradictory forms) employing some version of them in the analysis. This was a process analogous to working on a car's engine while the car is traveling down the road. By agreeing to explicit and shared guidelines at the outset, Workgroup members could more readily orient to the mission and align their understandings of scope and purpose.

Recommendation #6: This methodology, with appropriate revisions, should be employed to impose rigor, precision, and objectivity on the process of baseline-service identification.

Recommendation #7: Guidelines and Principles developed in this effort should be adopted for use in future baseline-service investigations.

Options for JISC Regarding the 16 Undecided Sub-Functions: The Workgroup did not arrive at a recommendation for the 16 sub-functions on which agreement could not be reached. Several options are suggested for JISC consideration:

- Adopt the report and recommendations as they stand, taking no further action at this time regarding inclusion or exclusion of the 16 undecided sub-functions.
- Make JISC decisions on the 16 undecided items, informed by the contents of this report, including the normalized total scores, votes, and discussion summaries detailed in Appendix E (“Court Business Function Scoring Summaries”).
- Solicit from Workgroup members formalized majority and minority opinions for each of the unresolved sub-functions, for deliberation and decision by the JISC at a future date.
- Authorize additional study, which could include any or all of the following:
 - Clarification of underlying assumptions, including whether baseline services imply required use by all courts (or at all court levels) or, conversely, whether baseline services define JIS functionality available to (but not mandatory for) courts, based on individual courts’ needs.
 - Additional objective analysis by AOC, to include (1) delineation of current functionality as it applies to each of the undecided sub-functions, (2) a review of the degree of correspondence between objective scores and final votes, and (3) identification -- and possible weighting of views of -- the stakeholder group[s] most vested in each of the sub-functions.
 - Decomposition of the undecided sub-functions into a greater level of detail within each (services and service components).
 - Group (workgroup or JISC) discussion of each of the criteria as they apply to each of the 16 undecided sub-functions, to illuminate aspects not recognized during individuals’ scoring of the sub-functions relative to the criteria.