



# Washington State Administrative Office of the Courts

Superior Court Management Feasibility Study

SCMFS Requirements Gap Analysis  
Version 1.2

Deliverable 5

**PSC 11062 Superior Court Management Feasibility Study Project**

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**Document History**

<b>Author</b>	<b>Version</b>	<b>Date</b>	<b>Comments</b>
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Brent Wigen	1.1	3/25/2011	Factored in comments from officer review.
Brent Wigen	1.2	4/6/2011	Updated with comments from Jeff Hall.

## I. Introduction

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

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

### A. Purpose

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

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

### B. Background

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

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

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

## C. Scope

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

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

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

### 1. Provider Alternatives Considered

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

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

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

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

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

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

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

## 2. Alternatives Not Considered

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

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

## 3. Assessment Criteria

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

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

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<sup>1</sup> Superior Courts Readiness Assessment, Deliverable #5 – Assessment Findings.

- **Stage 1 Technical Requirements** – The technologies and architectural constraints within which the alternative must operate.
- **Business Environment Considerations** – The focus and capabilities of the solution provider’s organization. The responses provided with regard to these considerations will help to identify the support the courts and the AOC should expect with the given alternative.

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

## D. Approach

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

### 1. Data-Gathering Approach

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

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

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

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

### 2. Gap Identification and Analysis Approach

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

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

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

## E. Assumptions

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

### 1. Management Assumptions

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

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

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

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<sup>2</sup> IT Strategy, page 10.

<sup>3</sup> IT Strategy, page 11.

<sup>4</sup> IT Strategy, page 11.

<sup>5</sup> IT Strategy, page 11.

<sup>6</sup> IT Business Plan, page 10.

## 2. Technical Assumptions

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

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

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

## II. Alternatives Considered

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

### A. Alternative 1 – Pierce County LINX

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

#### 1. Scope and Focus

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

LINX Core Applications	LINX Shared Functions	LINX Shared Data
<ul style="list-style-type: none"> <li>• Clerk</li> <li>• Courts</li> <li>• Prosecutor</li> <li>• Jail Management</li> <li>• Law Enforcement</li> <li>• Defense</li> <li>• Jury</li> <li>• Probation</li> </ul>	<ul style="list-style-type: none"> <li>• Document Management</li> <li>• Work Flows</li> <li>• Finance</li> </ul>	<ul style="list-style-type: none"> <li>• Cases</li> <li>• Calendars</li> <li>• Persons</li> <li>• Documents</li> </ul>

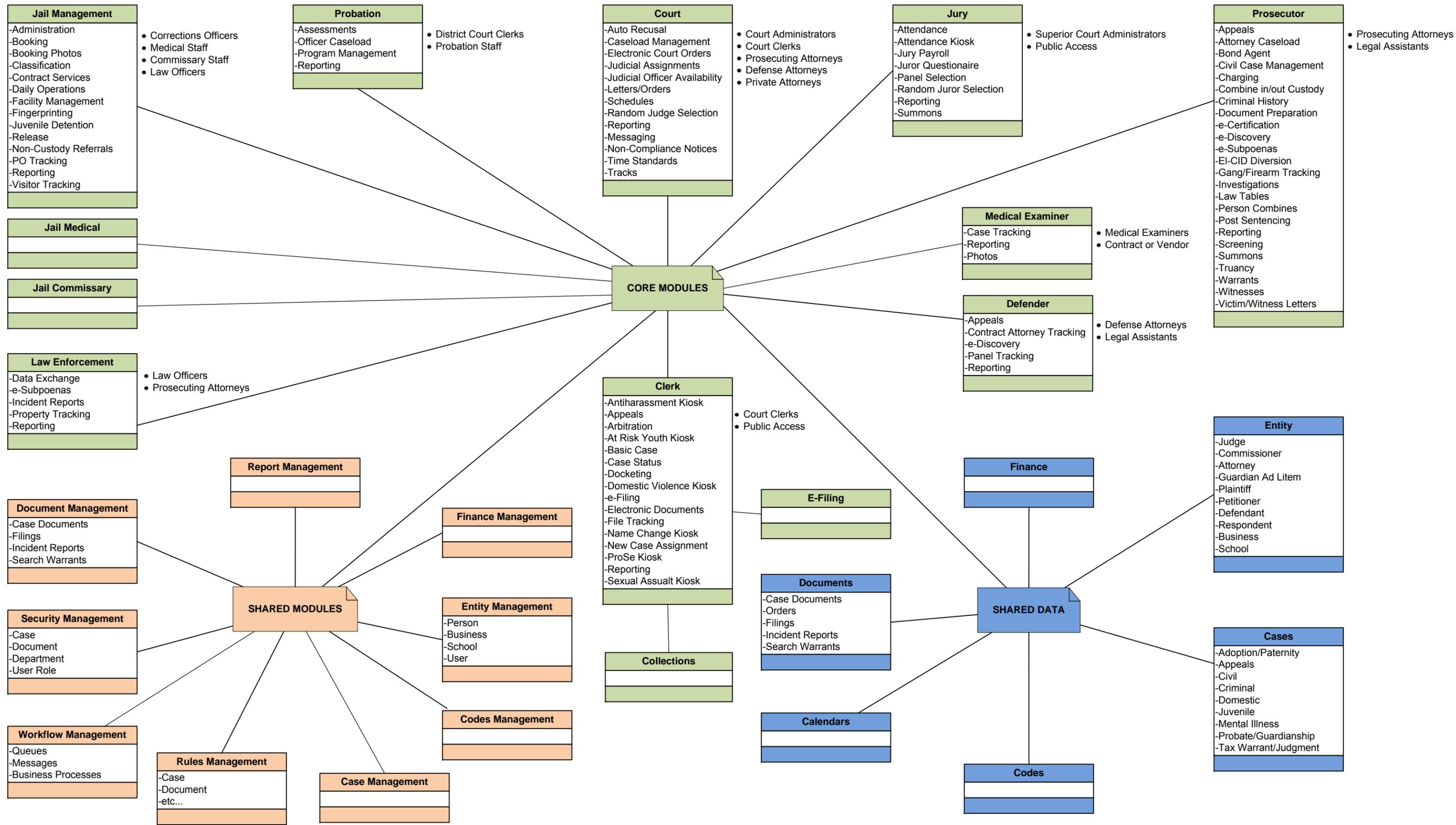
The general structure of LINX and the relationship between these components is shown in EXHIBIT I on the following page. As shown in the diagram, the application is designed to support the operational needs of several Pierce county organizations and facilitate information sharing between these organizations.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

#### 2. Status and Plans

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

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

# LINUX Model



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

### **3. Acquisition and Implementation**

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

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

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

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

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

### **1. Scope and Focus**

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

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

## 2. Status and Plans

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

## 3. Acquisition and Implementation

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

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

## C. Alternative 3 – Commercial CMS

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

### 1. Scope and Focus

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

Case Types	Major Functions	
<ul style="list-style-type: none"> <li>• Civil</li> <li>• Criminal</li> <li>• Juvenile</li> <li>• Domestic Relations</li> <li>• Traffic</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 Close</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		
<ul style="list-style-type: none"> <li>• Case</li> <li>• Person</li> <li>• Event</li> <li>• Financial</li> <li>• Document and Report</li> </ul>		

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

## 2. Status and Plans

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

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

## 3. Acquisition and Implementation

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

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

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

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

### III. Requirements Gap Analysis

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

#### A. Requirements Overview

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

##### 1. Business Requirements

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

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

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

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

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

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<sup>7</sup> Available at [http://www.ncsconline.org/d\\_tech/standards/](http://www.ncsconline.org/d_tech/standards/).

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

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

## 2. Technical Requirements

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

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

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

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

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

### 3. Organizational Considerations

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

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

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

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

## **B. LINX Requirements Gap Analysis**

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

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

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

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

### **1. Summary of Functional Gaps**

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

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

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

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

## 2. Summary of Technical Gaps

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

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

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

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

## 3. Organizational Gap Fit

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

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

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

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

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

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

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

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

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

## 1. Summary of Functional Gaps

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

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

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

## 2. Summary of Technical Gaps

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

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

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

## 3. Organizational Gap Fit

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

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

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

## D. Commercial CMS Requirements Gap Analysis

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

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

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

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

### 1. Summary of Functional Gaps

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

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

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

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

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

## 2. Summary of Technical Gaps

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

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

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

## 3. Organizational Gap Fit

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

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

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

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

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

## IV. Impacts and Implications

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

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

### A. Impacts and Implications of LINX Alternative

#### 1. Business Impact

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

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

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

The column headings in this table are defined as follows:

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

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

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

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

This will necessitate changes in statewide statistical reporting and in state agency interfaces from court records.

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

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

## 2. Technical Impact

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

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

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

The column headings are defined as follows:

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

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

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

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

### 3. Organizational Impact

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

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

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

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

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

### 1. Business Impact

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

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

In this table, the columns include the following.

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

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

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

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

## 2. Technical Impact

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

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

The columns of the table are defined as follows:

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

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

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

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

### 3. Organizational Impact

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

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

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

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

## C. Impacts and Implications of Commercial CMS Alternative

### 1. Business Impact

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

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

In this table, the columns include the following.

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

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

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

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

This will necessitate changes in statewide statistical reporting and in state agency interfaces from court records.

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

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

## 2. Technical Impact

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

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

The columns of the table are defined as follows:

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

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

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

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

### 3. Organizational Impact

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

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

## V. Recommended Alternative

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

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

### A. Further Considerations

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

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

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

### B. Recommendation

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

## 1. Need for Custom Application Development

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

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

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

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

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

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

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

## 3. Alignment With AOC EA

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

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

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

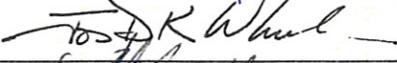
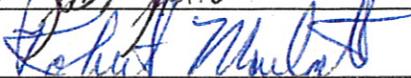
#### **4. Application Ownership and Evolution**

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

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

## VI. Document Approval

Reviewed by:

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

## Appendix A – List of Commercial Solution Providers Contacted

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

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

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

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

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

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

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

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

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

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

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

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

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

Number	Description	Detail Link	LINX Affinity	Implication	Strategy	Level of Effort
132	Manage specified data between parties in a personal relationship, (e.g., when an address is changed for one party in the relationship, populate the address for the party he/she resides with).	586	1	Business rules associated with interpersonal relationships and address maintenance must be developed in order to support this functionality.	D	250
133	Allow for the creation and maintenance of a recusal list for each judicial official.	8.1	2			
<b>Subfunction: Search Party</b>						
134	Manage searches on participants related to cases, other parties, or organizations, using multiple search option capabilities, and a variety of variables.	575	2			
<b>Subfunction: Party Maintenance</b>						
135	Allow representation by: <ul style="list-style-type: none"> <li>attorney with an "Active" bar status.</li> <li>out of state attorneys.</li> <li>prosecutor's and other offices.</li> <li>pro se participant (a party is representing him/herself).</li> </ul>			This function should be relatively simple to provide using business rules and capturing appropriate data for out of state attorneys.	D	50
			2			
			1			
			2			
136	Allow multiple attorneys to represent one participant and one attorney to represent multiple participants.		2			
137	Maintain, and display a person's family relationships including but not limited to: type of relationship, Name, Sex, Person ID, Number of aliases, Add date, Court, DOB, Resides with, and Responsible party.		2			
138	Manage true name and alias names in a relationship, with the ability to change the designation as needed. Provide the ability for one, or more alias identities, and the source of the alias information.	581, 582, 583, 585,	2			
139	Manage current data attributes of a party including the unique identifier for each, along with any alias person record.	461.2, 559, 566.2,	2			
140	Maintain and display a juvenile's social file storage information. (The social file is identified and stored according to local department business rules and is confidential and contains documents related to juvenile department contacts, and perhaps copies of legal case documents.)		2			
<b>Subfunction: Reports &amp; Searches</b>						
141	Manage report generation of party/person information upon request. Include reports on alert type notifications.	461.2, 617	2			
142	Manage report generation of person/party status information upon request. Include ability for display option of information, prior to generation.	589.2, 622.2	2			
<b>Subfunction: Administer Professional Services</b>						
143	Manage the inventory of the social services available to case participants, including the agencies status, and current credentials.		1	This is a planned addition to the LINX system and assumes that status changes are reported to the Courts in a manual format and entered by users. If the Courts desire an automated interface, the complexity of this requirement increases significantly, as there must be an exchange with the credentialing agency to provide electronic data on the provider's status. The level of effort estimate assumes the former.	D	250

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

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

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

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

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

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

No.	Type	Requirement	LINX Affinity	Implications	Strategy	Level of Effort
8	M	<i>Transaction Audit and Logging</i> The system shall support audit and transaction logs.	2			
9	HD	<i>Application Framework</i> The application environment should use Microsoft .Net or Java frameworks.	1	The plan to rewrite LINX to a Java-based application supports the AOC enterprise architecture standard and will not require additional effort beyond what has already been estimated.	D	0
10	HD	<i>Web Application Standards-Compliant</i> The application environment should be compliant with Web content management standards.	0			
11	HD	<i>Work Flow</i> Work flow should be configurable through a configurable work flow engine.	1	The future vision for LINX will utilize Jboss Drools, an open source workflow engine, for business logic. This meets the workflow requirement. However, rewriting LINX using this new tool will add complexity to development. Additionally, AOC will need to become competent in the use and management of the workflow toolset. <b>Level of effort estimates the time needed to create this competency within AOC.</b>	A	1000
12	HD	<i>Availability</i> The systems should have high availability (24x7).	2			

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

7040  
5840

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

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

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
6	M	<i>Scalable Solution</i> The solution shall be scalable to meet the needs of small, medium, and large courts.				
			1			
7	M	<i>Security</i> The system shall provide a robust security facility that provides identity and access management. AOC prefers an SSO solution.				
			1			
8	M	<i>Transaction Audit and Logging</i> The system shall support audit and transaction logs.				
			1			
9	HD	<i>Application Framework</i> The application environment should use Microsoft .Net or Java frameworks.				
			1			
10	HD	<i>Web Application Standards-Compliant</i> The application environment should be compliant with Web content management standards.				
			1			
11	HD	<i>Work Flow</i> Work flow should be configurable through a configurable work flow engine.				
			1			
12	HD	<i>Availability</i> The systems should have high availability (24x7).				
			1			
13	HD	<i>Configurable Application</i> The application should be highly configurable with a minimum of customization.				
			1			

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

No.	Type	Requirement	Market Affinity	Implication	Strategy	Level of Effort
10	HD	<i>Web Application Standards-Compliant</i> The application environment should be compliant with Web content management standards.	2			
11	HD	<i>Work Flow</i> Work flow should be configurable through a configurable work flow engine.	3			
12	HD	<i>Availability</i> The systems should have high availability (24x7).	3			
13	HD	<i>Configurable Application</i> The application should be highly configurable with a minimum of customization.	3			
14	HD	<i>High Application Integration</i> The solution shall be able to integrate with other applications or services and data warehouse solutions through common APIs.	3			
15	HD	<i>Service-Oriented Architecture (SOA)</i> The system should be able to adopt and extend SOA framework. A system based on SOA architecture will package functionality as a suite of interoperable services that can be used within multiple separate systems from several business domains.	2	The requirement for SOA is not a question of level of effort to bring a solution into compliance, as SOA is a fundamental architecture that cannot be altered within a commercial solution. Rather, this requirement is a question of the need for interoperable services and how that need impacts the commercial options available to the Courts.	N/A	0

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

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