



**King County**

# **King County Courts Joint Technology Strategic Plan**

April 30, 2008



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**King County**

# Chapter 1

## Executive Summary



# 1. Executive Summary

## Overview

In August 2007, the three King County court agencies (Courts) engaged Pacific Technologies, Inc. (PTI) to prepare a Joint Technology Strategic Plan (JTSP). These agencies consist of the King County Superior Court (Superior Court), the Department of Judicial Administration (DJA) and the King County District Court (District Court). PTI conducted this exercise in partnership with a project steering committee comprised of senior information technology representatives from each organization. This group provided critical guidance to our team throughout the project.

## Project Goals and Objectives

The three King County judicial organizations maintain separate information technology plans and budgets. King County’s Office of Information Resource Management (OIRM) requires individual departments to periodically develop and update strategic technology plans that align with the County information technology (IT) plan. Leadership staff from each of the court agencies recognized the need to better serve the community and utilize scarce resources by examining shared technology opportunities. A key goal of the project was to determine whether agency collaboration might create economies of scale, improve court operating performance and eliminate duplicate effort. This led to the development of a joint technology strategic plan which identifies opportunities to combine technology resources in order to satisfy shared business needs and establish a foundation for future integration.

## Methodology

PTI tailored its proven strategic systems planning approach to best address the requirements of the JTSP and the unique needs of the three King County court agencies.

Our process addressed two strategic focus areas of information technology strategic planning<sup>1</sup>:

- **Applications** – the software used to support the Courts’ business functions and operations

<sup>1</sup> The service delivery and decision making focus areas, typically included in PTI’s strategic planning methodology, were outside the scope of this engagement.



*This plan should be treated as a living document, reviewed annually and revised as needed.*

- **Technical Infrastructure** – the hardware, databases, and networks deployed to support the applications

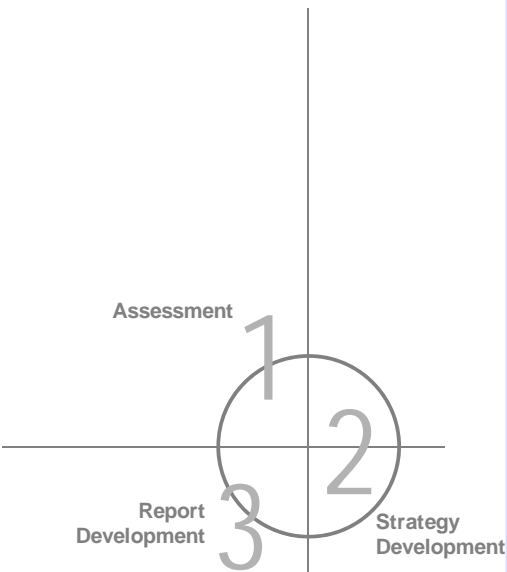
These two focus areas served as important reference points throughout the project's three phases:

1. **Assessment** – PTI conducted an evaluation of the Courts' tactical and strategic business needs, as well as its current IT position across the two key focus areas. This phase identified key business drivers and defined strategic technology issues facing the Courts. These findings formed the basis for recommendations described in Chapter 2: Strategic Direction.
2. **Strategy Development** – In partnership with the project's steering committee, PTI leveraged the information collected in the assessment and developed recommendations for addressing the major findings. These recommendations were validated through a review workshop with the project's steering committee.
3. **Report Development** – PTI developed a final report, validated it with key stakeholders, and delivered a culminating presentation of major findings to Superior Court and District Court leadership.

PTI supported the assessment effort through executive interviews, focus groups and application reviews involving more than 30 stakeholders (see Appendix A). Our team examined each agency's current network architecture and application portfolio. We referenced our database of municipal IT benchmarks to help compare the Courts to similar organizations and industry best practices. We employed various strategic tools to develop our recommendations: including a business function model, ideal application architecture and gap analysis, and a technical inventory. Further information regarding the business function model and ideal application architecture can be found in Appendices B and C. For additional reference, our team also interviewed leadership staff from similar jurisdictions, including non-unified court systems in the states of Nevada and Arizona, and the unified court system in South Dakota.

Overall, this work provides the Courts with a "blueprint" for future IT planning, with the objective of achieving strategic IT goals presented at the conclusion of this chapter.

Please note that this report represents a "snapshot" of the state of IT at the time the work was done, and may not reflect activity after February 2008. As circumstances change, the Courts' IT priorities must also accommodate those changes. *Consequently, this plan should be treated as a living document, reviewed annually and revised as needed.*



The remainder of this chapter summarizes the results of the planning effort, as follows:

- Business Drivers
- Strategic Assessment Summary
- Strategic Recommendations Summary
- Key Benefits

### Business Drivers

A viable strategic planning effort must take into account the Courts' current business environment. Business drivers refer to the environmental trends and imperatives that place demands on IT services. We organized the Courts' major drivers into the following broad categories:

- **Service Drivers** – External trends and dynamics that influence the Courts' business functions (e.g., public demand for justice system accountability, increasing caseloads)
- **Political Drivers** – Internal and statutory factors that affect the Courts' business objectives and processes (e.g., budget limitations, shifting statutory and regulatory mandates)

#### King County Courts Business Drivers

##### Service Drivers

- **Public demand for justice system accountability, transparency, information access, and security** requires heightened attention to data management issues
- **Increasing caseloads** demand higher efficiency and productivity
- **A greater emphasis on external communications and public relations** calls for a more citizen-centric and proactive Internet presence
- **Disparate business practices among the Courts** require innovative approaches to technology partnerships and information sharing
- **Complicated relationships with contract courts** require improved communication and coordination, and the ability to accurately track costs
- **The State Case Management System's (CMS)<sup>2</sup> uncertain status** raises concerns about implementation, affected business processes, and functional fit – complicating short and long term planning

<sup>2</sup> The State of Washington Administrative Office of the Courts' (AOC) core case management system development project.

*A viable strategic planning effort must take into account the Courts' current business environment.*

### Service Drivers (cont.)

- **Public demand for self-service** requires consistent implementation of new technology (e.g. forms, filing, payments, kiosks)

### Political Drivers

- **Shifting statutory and regulatory mandates** require the Courts to continually monitor developments and frequently adapt business processes
- **The separation of court jurisdictions** has limited collaboration and joint IT decision-making among the Superior Court, the District Court, and DJA
- **Pressure to improve information sharing among justice agencies** necessitates intragovernment data exchange and the development of new standards
- **The OIRM directive for IT strategic planning** calls for alignment between agency goals, business processes and technology solutions/automation
- **Increased scrutiny over operating performance** encourages the creation and implementation of process metrics
- **Budget limitations** constrain business operations and require processes for prioritizing investments

## Strategic Assessment Summary

### Strengths

Strategic planning engagements necessarily focus on areas for improvement, but our assessment also identified several strategic assets. In particular, IT staff are hard-working and dedicated to supporting the Courts' business goals. The areas of strength outlined below should be acknowledged and built upon. Notably:

- **Many District Court business processes are well-automated** – Software effectively supports core business functions (e.g., court records management – Dcor) and some peripheral functions (e.g., witness management)
- **Many DJA business processes are well-automated** – DJA is a national leader in development of the electronic court records system, and was the 2007 recipient of the

*IT staff are hard-working and dedicated to supporting the Courts' business goals.*

Harvard School of Government Innovations in Government Award. DJA is among the most technology-reliant agencies in the county.

- **The Courts utilize predominantly current server hardware** – A majority of the Courts’ server processors run at speeds between 2 and 4 GHz, sufficient to effectively run both current and forthcoming applications
- **Both District Court and Superior Court employ current courtroom recording technology** – FTR Gold enables efficient and accurate court audio/video recording and is widely recognized as best-of-breed software
- **The Courts maintain widespread wireless connectivity** – Readily available network access promotes communication and data exchange for court employees, citizens and stakeholders
- **Representatives from the Courts participate in State CMS planning and development efforts** – As the County with the highest caseload in the State of Washington, involvement in the statewide case management system effort enables the Courts to influence development in favor of their unique workflow automation needs
- **Shared user management** – A jointly managed Active Directory forest provides a common authentication boundary for the three agencies and has facilitated data sharing and helped standardize some technology processes
- **Case records management (electronic court records)** – District Court and DJA both realize significant efficiencies by employing successful technology solutions for storing and managing court filings electronically
- **Availability of Internet services** – The three agencies offer a number of Internet services, such as E-Filing, ECR Online, and Docket/case number look up

#### Opportunities for Improvement

Although the above strengths help support operations, the Courts’ technology position has a great deal of room for improvement. This section highlights the most significant challenges and their associated impacts (see Chapter 2 for details).

- **The Courts are not well-prepared for automation integration across the law and justice continuum** (e.g., King County Prosecutor’s Office, King County Jail) – “Siloed” data stores and limited integration inhibit periodic data and application sharing needs, and information transfer between law, safety, and justice agencies requires manual processes redundant data entry.

*The Courts’  
technology position  
has a great deal of  
room for improvement.*

- **The State CMS development project's delays raise concerns regarding case management automation** – At present, uncertainty surrounds The State CMS's functionality and implementation schedule. Repeated project delays and incomplete information has hindered case management decision-making.
- **The Courts lack a defined infrastructure approach and coordinated disaster recovery plans (DRP)** – Data and storage centers are geographically dispersed among the agencies, and often located in suboptimal conditions. A number of servers utilize outdated operating systems, such as Windows 2000 (which Microsoft will cease supporting in 2010). Each agency is in the process of constructing an individual DRP, but a lack of coordination increases the Courts' risk exposure and ability to resume operations in an emergency.
- **Overall, the Courts underutilize secondary automation opportunities** – Poorly automated and unautomated functions (e.g., signage, grant and contract management, notification management, witness management) require manual processes and labor
- **Jurisdictional separation limits collaboration** – By law, the Courts operate independently and, as a result, have not routinely made shared IT decisions or investments. In addition, dissimilar business approaches (e.g., case management vs. court calendar scheduling)<sup>3</sup> make some joint technology ventures difficult.

### Key Strategies

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The plan's objective called for a coordination of vision and technology investment among the Courts. Organizationally, these three agencies differ appreciably in areas such as: business processes, public mandates, caseloads and historical decision-making autonomy. The formation of a joint plan demands careful integration of separate business needs, technology plans and budgets.

Consequently, PTI's recommendations emphasize three concepts essential to joint strategic planning success:

- **Focus on projects that can be promoted as "early wins"** – These initiatives will help create a positive environment for success. They should have broad support across the three agencies, address identifiable mutual business needs, and offer relatively simple implementation processes.

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<sup>3</sup> District Court case management is primarily structured around blocks of time, case types, courtrooms, and judges, while Superior Court case management is largely structured around the cases themselves and associated needs, such as longer-term requirements for interpreters, witnesses, juries, etc.

**KEY STRATEGIES**

- *Establish a strategic foundation for long-term automation and integration across the law and justice continuum*
- *Coordinate IT investments where appropriate*
- *Enhance IT decision making*

*Common standards and architectures establish a foundation for justice data exchange and conserve resources by lowering necessary support levels, consolidating redundant data, reducing replacement costs, and enhancing security.*

- **Promote uncontroversial investments** – To engender a spirit of cooperation among the Courts, first steps should concentrate on nonthreatening projects that do not face significant organizational, political, or fiscal barriers.
- **Build on demonstrable successes** – Managers from all three agencies must leverage lessons learned about early successes and failures to augment performance on more challenging future projects.

Due to the nature of this plan, some individual recommendations may not apply to all three agencies and investments may also differ in value or significance among the Courts.

PTI proposes the following key strategies to address the IT issues identified in the assessment phase. Chapter 3 describes more specific recommendations which were validated by the project’s steering committee and designed to support the key strategies outlined below.

Key Strategies
<ul style="list-style-type: none"> <li>• <b>Establish a strategic foundation for long-term automation and integration across the law and justice continuum</b></li> <li>• <b>Coordinate technology investments where appropriate</b></li> <li>• <b>Enhance IT decision making</b></li> </ul>

The remainder of this section provides more information about the key strategies, along with associated recommendations.

**Establish a strategic foundation for long-term automation and integration across the law and justice continuum:**

- **Determine direction regarding court case management systems** – In the short term, the Superior Court has completed an options analysis. In the long term, the Superior Court, the District Court, and DJA need to revisit and assess both the functionality and utility of state-developed systems. As a critical business process, case management solutions require careful consideration.
- **Establish common data standards and architectures** – Sharing data depends on compatible data architectures. Develop data administration standards suitable for establishing a data sharing foundation among law, safety and justice agencies and for future application procurement. The Courts should aggregate resources for investment, when appropriate. Consider transaction volumes, number of users, necessary support skills and



information security requirements when developing standards. Also, consider adoption of existing justice data standards as appropriate.

#### **Coordinate technology investments where appropriate:**

- **Jointly purchase infrastructure components** – Collaboration improves the Courts' individual purchasing power and reduces total cost of ownership. Jointly investing in common hardware will allow the Courts to deploy larger, more powerful, and more effective network systems.
- **Invest in unautomated and poorly automated business functions** – Target these areas (e.g., notification management, grant and contract management, jury management) for improvement. Seek opportunities to address non-controversial mutual automation needs (e.g., signage) that will succeed easily – encouraging cooperation and boosting morale (“early wins”). When replacing end-of-life applications, explore sharing possibilities first.
- **Exploit data sharing opportunities** – The Courts use common data for certain business functions (e.g., interpreter/facilitator management) even when applications and business processes differ (e.g., case vs. calendar focus). Take advantage of shared data opportunities.

#### **Enhance IT decision making:**

- **Collaborate on Annual Conceptual Review Process** – Representatives from each agency meet to share plans and information before new projects go through the conceptual review process. This alliance facilitates and supports interagency partnerships as well as law, safety and justice cooperation without replacing or infringing upon current reporting structures.
- **Seek partnerships** – Guide individual technology decisions by a broad perspective, especially in collaborative situations. Develop guidelines and standards for partnerships to simplify governance, improve operations and lay a foundation for future information sharing across the law, safety and justice continuum. Adopt a collaborative approach to software procurement and development whenever possible.

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## Key Benefits

The following table describes benefits associated with this plan's key strategies.

Strategy	Benefits
Establish a strategic foundation for long-term automation and integration across the law and justice continuum	<ul style="list-style-type: none"> <li>• Enhances service delivery to constituents</li> <li>• Prepares the Courts to consistently share information with other law and justice agencies inside and outside the County – a key element of strategic justice automation across the country</li> <li>• Secures reliable and efficient support of court business functions</li> <li>• Builds structures for improved operational efficiency, reduced costs, and higher productivity</li> </ul>
Coordinate technology investments where appropriate	<ul style="list-style-type: none"> <li>• Fosters cooperation among the court agencies</li> <li>• Distributes licensing, purchasing and implementation costs, maximizing the Courts' purchasing power and return on technology investment</li> <li>• Promotes utilization of more advanced technology to improve service</li> </ul>
Enhance IT decision making	<ul style="list-style-type: none"> <li>• Encourages consensus on mutually beneficial technology projects</li> <li>• Promotes communication among the agencies regarding major IT issues</li> <li>• Ensures consistent funding for technology upgrades</li> <li>• Fosters informed technology investments</li> </ul>

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**King County**

## **Chapter 2**

**Current Environment**



## 2. Current Environment

This chapter provides a current-state assessment of the Courts' IT position, organized as follows:

- Organizational Background
- Business Context
- Applications
- Technical Infrastructure
- Additional Considerations

During the assessment phase of this Joint Technology Strategic Plan (JTSP), PTI collected and analyzed the Courts' IT software and hardware data. We gathered additional information through one-on-one interviews, application reviews and focus groups with the Courts' managers and staff – providing broad opportunities for participation.

For the development of the Courts' JTSP, PTI focused on two strategic IT focus areas: applications and technical infrastructure.

- **Applications** – The software used to support the Courts' core business functions
- **Technical Infrastructure** – The databases, hardware, and networks deployed to support the applications

The assessment work established the Courts' baseline information technology position. We validated our findings with the project's steering committee through both direct feedback and a recommendations review workshop.

This analysis serves as a foundation for the recommendations presented in Chapter 3: Strategic Direction.

### Organizational Background

King County Courts are divided by jurisdiction into three agencies: King County Superior Court, King County Department of Judicial Administration, and King County District Court.

King County Superior Court (Superior Court) is the largest general jurisdiction court in the State of Washington. It manages felony criminal cases; civil matters involving more than \$300; family law, including dissolutions, child support, adoptions, parentage, and domestic-violence protection matters; probate and guardianship matters; juvenile offender cases; juvenile dependencies, including abused and neglected children, children in need of services, at-risk

***Note:** This assessment reflects a point-in-time analysis. It represents a “snapshot” of the state of IT service delivery during the period in which the evaluation occurred and assumes the data provided by the Courts was accurate at the time collected.*

youth, and truanancies; civil involuntary commitment matters. In 2005, there were 74,854 cases filed in Superior Court, more than any other court of its kind in the State of Washington.

King County Department of Judicial Administration (DJA) serves as the customer services office of the King County Superior Court, managing all the records of Superior Court cases. DJA also manages receipt, disbursement and trust accounting of all fees, fines and payments made in Superior Court cases. DJA serves over 500 customers and handles the filing of over 7,000 documents daily.

King County District Court (District Court) is the largest court of limited jurisdiction in the State of Washington. District Court processes over a quarter of million cases annually and is located in eleven separate facilities. District Court has jurisdiction over the following: civil matters up to \$50,000, small claims matters up to \$4,000, civil traffic and non-traffic infractions, criminal traffic misdemeanors and gross misdemeanors, criminal misdemeanors and gross misdemeanors, parking infractions, felony expedited cases and death inquests. District Court caseload includes the largest number of problem-solving courts in the State, including mental health, domestic violence and re-licensing courts. District Court also provides court services to 13 cities in King County pursuant to an inter-local agreement between the County and these cities.

### Business Context

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We sorted business drivers for the three King County Court agencies into two broad categories:

- **Service Drivers** – External trends and environmental factors that influence the Courts' business functions (e.g., public demand for justice system accountability, increasing caseloads)
- **Political Drivers** – Internal and statutory factors that affect court processes (e.g., budget limitations, shifting statutory and regulatory mandates)

The following tables and the remainder of this section elucidate the drivers in more detail.

## King County Courts Business Drivers

### Service Drivers

- **Public demand for justice system accountability, transparency, information access, and security** requires heightened attention to data management issues
- **Increasing caseloads** demand higher efficiency and productivity
- **A greater emphasis on external communications and public relations** calls for a more citizen-centric and proactive Internet presence
- **Disparate business practices among the Courts** require innovative approaches to technology partnerships and information sharing
- **Complicated relationships with contract courts** require improved communication and coordination, and the ability to accurately track costs
- **The State CMS's uncertain status** raises concerns surrounding implementation, affected business processes, and functional fit – complicating short and long term planning
- **Public demand for self-service** requires consistent implementation of new technology (e.g. forms, filing, payments, kiosks)

### Political Drivers

- **Shifting statutory and regulatory mandates** require the Courts to continually monitor developments and frequently adapt business processes
- **The separation of court jurisdictions** has limited collaboration and shared IT decision-making between the Superior Court and the District Court
- **Pressure to improve information sharing among justice agencies** necessitates intragovernment data exchange and the development of new standards
- **The OIRM directive for IT strategic planning** calls for alignment between agency goals, business processes and technology solutions/automation
- **Increased scrutiny over operating performance** encourages the creation and implementation of process metrics
- **Budget limitations** constrain business operations and require processes for prioritizing investments

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*Disparate business practices among the three agencies make application sharing and collaboration more difficult.*

*Government agencies, especially in law, safety, and justice areas, face increasing pressure to share information with other government entities.*

The following section expands on items in each of the business driver categories.

### **Service Drivers**

Citizen demand for government accountability, transparency, information access and security is continually increasing. This emerging notion of open government affects the justice system and includes more scrutiny over issues such as public access, performance measures, electronic transactions, compliance and status reporting. As a result, there is also a greater emphasis on improved external communications and effective public relations. Increasing caseloads from year to year will force the Courts to further streamline operations. In 2008, District Court alone is expected to exceed 250,000 cases.

Disparate business practices among the three agencies make application sharing and collaboration more difficult. These processes inhibit efficient data transfer and collaboration. Contract management with 13 city courts is another complicating factor. For example, IT projects require approval by these contract courts prior to implementation. The full-cost recovery model for these services creates additional pressure on the District Court. In addition, some contract jurisdictions want to revisit the current service agreement. The impending State CMS deployment is also a major planning issue due to uncertainty surrounding its functionality and implementation schedule.

### **Political Drivers**

Shifting statutory and regulatory mandates require flexible adaptation to a changing landscape influenced by elections, politics, and public influence. The three agencies are separated by legal jurisdiction and, as a result, have diverse responsibilities, mandates, and authority which may limit cooperation efforts.

Government agencies, especially in law, safety, and justice areas, face increasing pressure to share information with other government entities. The desire for integration across the continuum demands significant resources, yet the Courts' face concurrent expectations to be effective stewards of limited taxpayer dollars. King County's Office of Information and Resource Management (OIRM) requires periodic submission of departmental IT strategic plans. In aggregate, the Courts experience increased scrutiny from various sources (e.g., the public, the media, legislators, advocacy groups) over organizational vision, goals and operating performance.

## Applications

This section assesses software used to support the Courts' business functions, and major investments designed to enhance services, improve operations and simplify statutory compliance.

Currently, strategic application investments vary among the three agencies. Many business functions suffer from a lack of resources and/or limited support for some major applications. This section presents PTI's application findings and associated impacts, beginning with a summary table, followed by detailed descriptions.

### Applications Findings Summary

#### Strengths

- Many District Court business processes are well-automated
- DJA is a recognized national leader in electronic court record system development and deployment
- Both District Court and Superior Court utilize current courtroom recording technology
- DJA plans to replace court records management automation
- The Courts continue to fill gaps in business software automation
- Representatives from the Courts participate in the State CMS planning and development efforts
- Superior Court has begun to address urgent case management needs, originally the responsibility of the State of Washington
- Shared user management tools offer a common authentication boundary
- Both District Court and DJA store and manage court filings electronically

#### Opportunities for Improvement

- The State CMS development project's delays raise concerns regarding case management automation
- Several business functions lack sufficient automation

### Opportunities for Improvement (cont.)

- Each agency manages data and applications independently
- Manual processes and shadow applications<sup>4</sup> support specialty court functions
- Court web presences do not employ a customer focus
- Disparate applications support common functions among the agencies
- The Courts lack performance measurement automation

The following expands upon PTI's application findings and associated impacts.

#### Application Strengths

This subsection details individual application strengths.

#### Many District Court business processes are well-automated

Dcor (District Court's modified electronic court records system), Interpreter Web, Master Calendar and Automated Call Reminder (ACR) system automate court records management, interpreter/facilitator management, court scheduling, and notification management. **Core business functions within the District Court are effectively automated.**

#### DJA is a recognized national leader in electronic court record system development and deployment

DJA is a national leader in development of the electronic court records system, and was the 2007 recipient of the Harvard School of Government Innovations in Government Award. DJA is among the most technology-reliant agencies in the county.

#### Both District Court and Superior Court utilize current courtroom recording technology

Both courts currently use FTR Gold for courtroom recording. FTR Gold is widely recognized as a best-of-breed software application. **The Courts utilize up-to-date courtroom recording technology to improve archiving and operational processes.**

<sup>4</sup> Applications used to support workarounds for unautomated or poorly automated business functions

### DJA plans to replace court records management automation

DJA is examining potential replacements for ECR – the current court records management system. ECR's underlying platforms and hardware are either obsolete or will soon be unsupported. **Management has taken action to ensure support of a core business function. Superior Court records management functions remain automated.**

### The Courts continue to fill gaps in business software automation

Superior Court, in coordination with CASA volunteers (Court Appointed Special Advocates for children), is developing a volunteer management application and is preparing to implement an interpreter management system. JJWEB (Superior Court's juvenile case management system) was built in-house and is heavily utilized across the agency. Also, District Court will implement a new Witness Management program – developed by King County's OIRM – later in 2008.

**Current software development efforts emphasize strategic use of applications.**

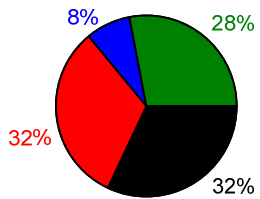
### Representatives from the Courts participate in State CMS planning and development

The State CMS refers to the State of Washington's case management system development project. This project offers the promise of an integrated statewide system. King County's large caseload enables some of its leaders to participate on the project's steering committee where they obtain firsthand knowledge of the State CMS and can contribute input regarding its development. **The Courts stay informed about the application's current status, scope, functionality, and implementation plan, which allows leadership staff to strategically plan for future case management automation.**

### Superior Court has begun to address urgent case management needs

Due to aging case management automation and concerns regarding the State CMS's success, Superior Court has begun exploring potential solutions for replacing its current system, KCMS, which will reach end-of-life in June 2009. Superior Court staff submitted a business case favoring replacement of KCMS, and potential integration with Superior Court's juvenile case management system, apart from the State's CMS development project. **Superior Court management is taking appropriate steps to ensure continuity of automation in this mission-critical area.**

### The Courts' Application Gap Summary



Overall Gap Assessment	Minimal
	Moderate
	Severe
	Unautomated

*While dissimilar processes among the Courts present a legitimate barrier to application sharing, they do not prevent data sharing.*

### Application Opportunities for Improvement

This subsection details individual application opportunities for improvement.

#### The State CMS's project delays raise concerns regarding case management automation

Though the State CMS development project offers great promise, King County users and leadership staff expressed concerns about the system's functionality and implementation schedule. The State CMS's repeated delays (including one in January 2008) combined with a need to upgrade current automation led Superior Court to consider alternative solutions. ***Uncertainty surrounding the CMS prevents the Courts from improving current case management systems and short-term pressures created by end-of-life systems complicate strategic, long-term decisions.***

#### Several business functions lack sufficient automation

PTI's software gap analysis (see chart on left) indicates that application portfolios for the three agencies contain a large proportion of poorly automated and unautomated business functions. Severe application gaps endanger core business function (e.g., court case management, docketing management, court records management) and many peripheral business functions lack automation altogether (e.g., signage, grant and contract management<sup>5</sup>). Appendix C describes the ideal application architecture and gap analysis. Appendix D contains more detailed application reviews. ***A high proportion of severe and unautomated gaps indicates a need for investment in the Courts' software portfolios. Unautomated functions lead to unnecessary O&M costs resulting from repetitive and inefficient manual processes***

#### Each agency manages data and applications independently

Jurisdictional autonomy has separated IT decision-making processes among the three organizations and led to independent application portfolio management. Each organization purchases and develops software applications with minimal regard for information sharing opportunities among other court agencies and justice organizations. Additionally, the Courts do not utilize data exchange standards, which benefit judicial operations and are widely considered a best practice. Many business functions access data common across the justice system and would benefit from sharing common approaches to data exchange. Some might also be automated by common applications. While dissimilar business processes among the Courts present a legitimate barrier to application sharing, they do not prevent data sharing. ***Common***

<sup>5</sup> Some functions, such as payroll/timekeeping and grant/contract management, are intended for automation within the context of the countywide Accountable Business Transformation (ABT) effort and, as such, remain unautomated

***data standards augment information exchange among government agencies and help alleviate budget pressures. As a result, the Courts miss opportunities to improve operating performance and reduce the cost of exchanging data and documents with other justice agencies.***

#### Manual processes and shadow applications support specialty court functions

Specialty court processes (e.g., mental health, domestic violence) have contributed to a piecemeal automation approach among the agencies and are largely supported by personal productivity software (e.g. Microsoft Office). Typically, workers retrieve data from a statewide database and enter it into basic Office programs. Information is manipulated within this makeshift application as the case or issue is processed and then transferred to another agency or back into the state database. ***Specialty court processes drain resources through a time-consuming dependence on shadow applications, redundant data entry and manual tasks.***

#### Court web presences do not employ a customer focus

Agency web presences do not employ a citizen-centric or “life event”-focused design (e.g., witness subpoena, traffic citation, divorce filing) and employ different user interfaces. While the entities’ sites do link to each other, confusing page navigation and service descriptions can create difficulties for visitors unfamiliar with the Courts’ organization and inhibit optimal citizen use of the site. In addition, the sites offer limited ePayment ability. ***This complicates citizens’ view of the Courts, reduces the benefits of web functionality, and leads to excess customer visits with associated service demands.***

#### Disparate applications support common functions among the agencies

The three court agencies perform many common business functions. Several of these functions are supported by disparate applications (e.g. notification management, jury management). ***The application environment does not align with King County’s strategy to minimize redundant applications.***

#### The Courts could improve performance measurement automation

The Courts currently do not fully automate population of the CourTools performance measurement outcomes. In support of other decision support needs, operational data often must be collected manually or by shadow applications and may be presented in abstruse or confusing formats. ***As a result, key operational information does not reach management consistently or efficiently, potentially hindering the Courts’ performance measurement and decision-making capabilities.***

## Technical Infrastructure

This section addresses the hardware, networks, databases, and operating systems that support the Courts' applications, business operations and related services.

The three agencies have made many sound infrastructure-related decisions, while remaining within their respective resource constraints. Though cost is an important driver, room for improvement exists. The following section presents PTI's technical infrastructure findings and associated impacts, beginning with a summary table and followed by detailed descriptions.

### Technical Infrastructure Findings Summary

#### Strengths

- The Courts maintain widespread wireless connectivity
- The Regional Justice Center can serve as a backup site in case of an emergency
- A professionally-managed data center hosts some critical applications
- District Court and DJA maintain strong PC-to-file/print server ratios, indicating an efficient infrastructure in these areas
- The Courts utilize predominantly up-to-date server hardware

#### Opportunities for Improvement

- DJA's court records management system approaches end-of-life
- The Courts lack a defined technical infrastructure approach
- Suboptimal network architecture increases exposure to information security threats
- Courtroom technology in Superior Court locations can be improved
- Superior Court and DJA largely run aging server operating systems
- The Courts lack coordinated and documented disaster recovery plans

The following section expands upon PTI's technical infrastructure findings and associated impacts.

### Technical Infrastructure Strengths

This subsection details individual technical infrastructure strengths.

#### The Courts maintain widespread wireless connectivity

Superior Court recently added 60 wireless access points in its five locations. District Court already supports wireless access at all sites. **Wireless connections enhance network access and overall communication capabilities, enabling a more dynamic flow of information in and out of courtrooms.**

#### The Regional Justice Center can serve as a backup site in case of an emergency

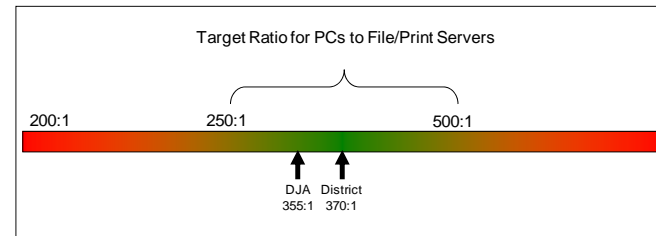
District Court maintains a secondary data center at its Regional Justice Center (RJC) in Kent. **The RJC's data center has the capacity to host core applications in the event of a disaster or emergency and can be a key component of the Courts' continuity of operations efforts.**

#### A professionally-managed data center hosts some critical applications

King County OIRM's data center hosts some core applications for the court agencies, such as Superior Court's case records management system (ECR). **OIRM's data center has controlled access, environmental controls and is professionally-managed, contributing to the security and longevity of equipment stored there.**

#### District Court and DJA maintain strong PC-to-file/print server ratios, indicating an efficient structure in these areas

DJA and District Court maintain efficient PC to file/print server ratios. This ratio reflects an organization's ability to efficiently and reliably deliver file and print services. An excessively high ratio suggests too many PCs for each server to handle, which can lead to more frequent downtime, consistently slow response, and potential crashes. A low ratio indicates that each server supports a relatively low number of PCs. This may result in improved service and response time, but higher operations and maintenance costs make this architecture overly expensive. **DJA and District Court's PC to file/print server ratios are within PTI's recommended range of 250:1 and 500:1, which demonstrates a positive balance between cost and functionality.**

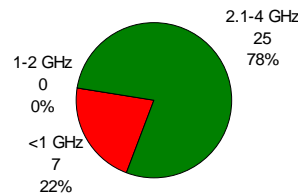


### The Courts utilize predominantly up-to-date server hardware

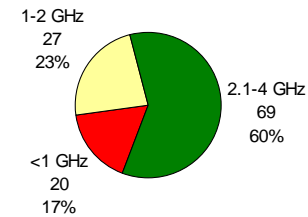
Server hardware within all three court agencies, measured by processor speed, is largely current. Units with processing speed of less than 1 GHz are considered obsolete and in need of immediate replacement. Only 22% of DJA servers and 17% of Superior Court servers face obsolescence and will need replacement in the near future. Due to recent upgrades, a mere 13% of District Court servers are approaching end-of-life. In fact, a majority of DJA and Superior Court servers run at speeds faster than 2.1 GHz, indicating relatively new hardware. Further, DJA recently gained approval to upgrade a significant portion of its current server infrastructure.

***Technologically current servers are a critical component in maintaining uptime and realizing the benefits of new software.***

**DJA Server Processing Speed**



**Superior Court Server Processing Speed**



### Technical Infrastructure Opportunities for Improvement

This subsection details individual technical infrastructure opportunities for improvement.

#### DJA’s court records management system approaches end-of-life

DJA’s court records management system, ECR, runs on Visual Basic 6.1, which will be unsupported starting in the summer of 2009. ECR maintains all Superior Court case records, which includes documentation for nearly 75,000 cases per year and exceeds 7,000 documents filed daily. ***Because ECR is a critical business system, ECR failure could completely stall Superior Court and DJA operations and endanger a significant number of official records.***

#### The Courts lack a defined technical infrastructure approach

We understand that the existing IT infrastructure evolved over a long period of time with significant budget constraints. At this point, however, the Courts’ infrastructure clearly needs improvement. Servers and networking components are geographically dispersed among, and even within, the three agencies. Most of these locations are not designed to house IT equipment and are in many cases converted closets, storage rooms, and basements. These sites lack best practice features, such as appropriate security, environmental controls and regulated power supplies. The Courts’ server architecture does not utilize application stacking and has just

***Lack of a planned infrastructure approach risks system failure and loss of critical data.***



begun to incorporate networked storage management (e.g., storage area networks (SANs)). In addition, the courts have not fully kept pace with appropriate hardware replacement cycles. **Most importantly, lack of a planned information technology approach risks system failure and loss of critical data. It also impairs performance measurement, increases costs, promotes inefficiency, decreases hardware life and complicates infrastructure management.**

**Suboptimal network architecture increases exposure to information security threats**

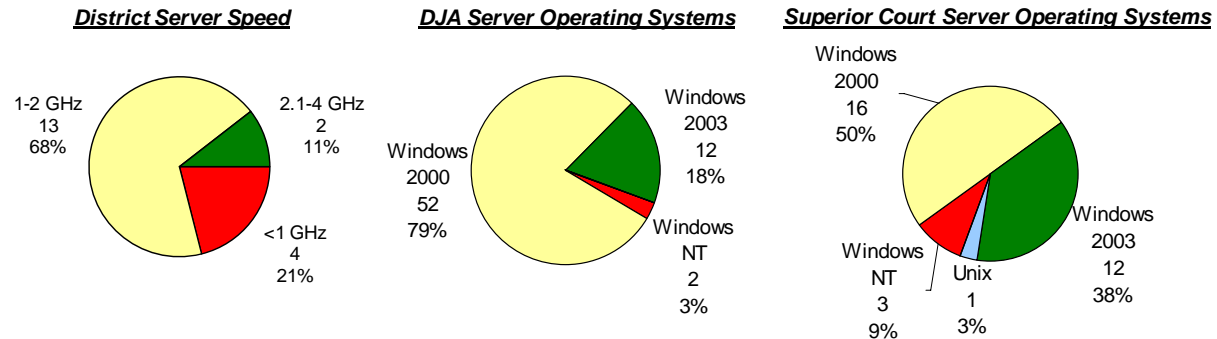
Though policies are in place (e.g. King County enterprise information security policy), deviations exist from these policies at each agency. **Improperly secured IT infrastructure subjects the County to operational and legal risk.**

**Courtroom technology in Superior Court locations can be improved**

Superior Court courtrooms are not optimally outfitted with technology. Locations have a limited number of workstations, inadequate projection capabilities, and a minimal capacity for printing, scanning, faxing, and other document management functions. **Information transfer through courtrooms is suboptimal and reduces operational efficiency.**

**Superior Court and DJA largely run aging server operating systems**

Half of the Superior Court servers and a most DJA servers utilize the Windows 2000 operating system (OS). Microsoft will cease support for this OS in 2010; severely impacting Superior Court and DJA’s ability to successfully run new applications. **Obsolete server operating systems impair an organization’s ability to reliably host business applications and are more expensive to support and maintain.**



### The Courts lack coordinated and documented disaster recovery plans

None of the three agencies has a documented disaster recovery plan (DRP) in place. The Courts are not in position to recover from an unplanned service outage or disaster. Though there are potential hot and warm sites available, such as the RJC, no offsite location has been selected or prepared for a service outage situation. Current participation in King County's Continuity of Operations Planning efforts aids the Courts' in this process, but plans still need coordination. ***Lack of a disaster recovery plan increases business risks. The Courts' may not be able to expediently resume operations in the event of a major service interruption or disaster.***



**King County**

## **Chapter 3**

Strategic Direction



### 3. Strategic Direction

The findings and issues identified in the assessment phase serve as a foundation for the strategic direction detailed in this chapter. It contains:

- Shared IT Vision
- Shared IT Goal State
- Recommendations
- Prioritization
- Benefits

#### Shared IT Vision

The shared *IT Vision* provides a concise charter for guiding the Courts' future technology direction:

**Judiciously invest in technology integration, shared data, and common applications, where appropriate.**

#### Shared IT Goal State

Strategic IT goals define an agreed-upon vision for the future of technology within an organization. Using the "SMART" framework, outlined on the left, we developed a set of shared strategic IT goals for the Courts, presented in the following table:

The Courts' IT goals are:

- S**pecific
- M**easurable
- A**greed-upon
- R**ealistic
- T**imely

IT Goals
<ul style="list-style-type: none"> <li>• Shared IT investments align with overall business objectives</li> <li>• Investments are managed with an outcome-based, accountable approach</li> <li>• Applications enhance business processes and integrate information management</li> </ul> <p><b>Where appropriate:</b></p> <ul style="list-style-type: none"> <li>• Applications are shared across entities</li> <li>• A common data repository supports information exchange across the justice continuum</li> <li>• Technology infrastructure is shared, cost-effective, secure, responsive, and reliable</li> </ul>

Both the shared IT vision and the shared IT goal state were reviewed and approved by the Courts' project steering committee.

## Recommendations

This section presents PTI's recommendations, beginning with an explanation of the three key strategies, followed by a summary table and detailed recommendation descriptions.

- **Establish a strategic foundation for long-term automation and integration across the law and justice continuum** – Law, safety, and justice agencies face increasing demands to consistently share information. Collaborative development of both a common data platform and information transfer methods will improve critical communications. A well-defined strategy provides the Courts with a clear technological path to future integration and offer criteria for key IT decisions.
- **Coordinate technology investments where appropriate** – In general, technology does not create barriers to cooperation among the agencies. By utilizing the same hardware components and software applications whenever possible, the Courts can maximize the return on their technology investments. This will increase the Courts' purchasing power, reduce the total cost of ownership, improve overall automation across the agencies and enable the use of larger and more powerful hardware components. In some cases, minor joint business process reengineering can increase the attendant benefits even further.
- **Enhance IT decision making** – Technology partnerships present a significant opportunity for the Courts to deploy resources more effectively. A cross-agency IT group will help decision makers coordinate partnerships and implement them for maximum mutual benefit without replacing or revising current reporting structures. In addition, improved performance measurement automation will augment operational and financial decisions.

### Recommendations Summary

#### KEY STRATEGY – Establish a strategic foundation for long-term automation and integration across the law and justice continuum

Supporting Recommendation:	Benefits:
<ul style="list-style-type: none"> <li>• Determine direction regarding the State CMS and court case management systems</li> </ul>	<ul style="list-style-type: none"> <li>• Supports more effective case management automation decisions</li> </ul>
<ul style="list-style-type: none"> <li>• Establish shared data standards and architectures</li> </ul>	<ul style="list-style-type: none"> <li>• Streamlines application integration, enhances security</li> </ul>

- Determine the State CMS direction
- Establish shared data platform

## Recommendations Summary (cont.)

- Jointly purchase infrastructure components
- Invest in poorly automated business functions
- Exploit data sharing opportunities

KEY STRATEGY – Coordinate technology investments where appropriate	
Supporting Recommendation:	Benefits:
<ul style="list-style-type: none"> <li>• Jointly migrate to a professionally-managed data center</li> </ul>	<ul style="list-style-type: none"> <li>• Protects hardware investment, supports disaster recovery operations</li> </ul>
<ul style="list-style-type: none"> <li>• Conduct periodic third party security audits and assessments</li> </ul>	<ul style="list-style-type: none"> <li>• Analyzes IT position, identifies potential threats, details solutions</li> </ul>
<ul style="list-style-type: none"> <li>• Jointly invest in unautomated and poorly automated business functions</li> </ul>	<ul style="list-style-type: none"> <li>• Improves interagency cooperation, increases productivity, reduces costs</li> </ul>
<ul style="list-style-type: none"> <li>• Share automation when applications reach end-of-life</li> </ul>	<ul style="list-style-type: none"> <li>• Decreases training and procurement costs while getting a maximum return from existing investments</li> </ul>
<ul style="list-style-type: none"> <li>• Leverage existing automation among the Courts</li> </ul>	<ul style="list-style-type: none"> <li>• Reduces training and procurement costs, improves operational efficiency</li> </ul>
<ul style="list-style-type: none"> <li>• Deploy a shared citizen-centric web portal</li> </ul>	<ul style="list-style-type: none"> <li>• Reduces service delivery cost and promotes self-service</li> </ul>
<ul style="list-style-type: none"> <li>• Improve use of County intranet</li> </ul>	<ul style="list-style-type: none"> <li>• Enhances data sharing and communication</li> </ul>

3

## Recommendations Summary (cont.)

3

- Establish an IT advisory group
- Seek partnerships

KEY STRATEGY – Enhance IT decision-making	
Supporting Recommendation:	Benefits:
<ul style="list-style-type: none"> <li>• Develop a cross-agency IT group</li> </ul>	<ul style="list-style-type: none"> <li>• Promotes agency cooperation and monitors joint progress</li> </ul>
<ul style="list-style-type: none"> <li>• Develop a joint case management feasibility study</li> </ul>	<ul style="list-style-type: none"> <li>• Informs pending case management system decisions</li> </ul>
<ul style="list-style-type: none"> <li>• Develop coordinated disaster recovery plans</li> </ul>	<ul style="list-style-type: none"> <li>• Ensures continuity of operations in emergency situations</li> </ul>
<ul style="list-style-type: none"> <li>• Enhance performance measurement automation</li> </ul>	<ul style="list-style-type: none"> <li>• Enables faster and more effective business decision-making</li> </ul>

The following section expands upon PTI's strategic recommendations.

### Establish a strategic foundation for long-term automation and integration across the law and justice continuum

#### Actively participate in the State CMS development project

We recommend that the Courts actively participate in the State's CMS development project. Once the functional scope and implementation timeline for the State CMS become clear, decision makers from both courts should then revisit their strategies and determine an appropriate long-term case management direction. The State CMS intends to provide an integrated system with the potential to serve as a source for broader data sharing across the justice spectrum. As a result, alternative case management solutions warrant careful consideration. ***A clear case management automation strategy built on a sufficiently detailed analysis will enhance decision-making, optimize application investment and ensure stable automation for this critical business function. Active participation in the State's CMS development project represents a crucial part of this process.***

#### Establish common data standards and architectures

Sharing data depends on compatible data architectures. Develop data administration standards suitable for establishing a data sharing foundation among law, safety and justice agencies and for future application procurement. The Courts should aggregate resources for investment,

*Common standards and architectures establish a foundation for justice data exchange and conserve resources by lowering necessary support levels, consolidating redundant data, reducing replacement costs, and enhancing security.*

*Joint investment will reduce procurement and training costs, and foster cooperation among the agencies. In addition, new automation will increase operational efficiency and improve service delivery to citizens.*

when appropriate. Consider transaction volumes, number of users, necessary support skills and information security requirements when developing standards. Also, consider adoption of existing justice data standards as appropriate. **Common data standards will establish a foundation for justice data exchange, conserve resources by lowering necessary support levels, consolidating redundant data, reducing replacement costs, and enhancing security. It will also standardize and simplify training.**

#### **Coordinate technology investments where appropriate**

##### **Jointly migrate to a professionally-managed data center**

As servers among the Courts reach end-of-life, move to a professionally-managed IT operations environment. Consolidate servers, utilize application stacking and standardize configurations going forward. Document and employ proper environmental guidelines and controls for data centers. Take an enterprise view of storage management by implementing a comprehensive backup system and building storage area networks. **Professionally-managed data centers augment provision of reliable, secure, and efficient support of court business functions. They also lower overall infrastructure costs by reducing maintenance intervals, extending hardware life, and achieving economies of scale.**

##### **Conduct periodic third party security audits and assessments**

An extensive assessment of IT policies, procedures, practices and technical infrastructure will identify information vulnerabilities and threats. Subsequent annual audits will “check up” on critical security areas until another overall assessment is due (approximately every 4-5 years). Schedule and budget for these activities collaboratively among the three court agencies. **These reports and their associated recommendations help protect the Courts from internal and external IT threats – both current and emerging. They increase levels of information security and help ensure the integrity of both confidential information and public record.**

##### **Jointly invest in unautomated and poorly automated business functions**

Because many business functions currently lack automation (e.g., signage, contract and grant management, video appearance, document management), PTI recommends investing in these areas first and leveraging existing County solutions, where possible. Identify processes which have common needs and potentially common solutions. Invest in areas where demonstrable successes may boost organizational confidence and buy-in (“early wins”). **Joint investment will reduce procurement and training costs, and foster cooperation among the agencies. In addition, new automation will increase operational efficiency and improve service delivery to citizens. Leveraging County solutions (e.g., HR Management, Financial**

**Management/Payroll, Personal Productivity) will reduce – and in some areas eliminate – procurement and implementation costs.**

#### Share automation when applications reach end-of-life

When current software applications need replacement, investigate application sharing opportunities where similar business processes exist (e.g., Jury Management, Court Scheduling). **Replacing disparate applications with shared automation maximizes the Courts' return on technology investment.**

#### Leverage existing automation among the Courts

Where current business processes are similar, utilize existing automation to support functions in more than one agency (e.g., Witness Management, Self-Service/Web, Notification Management, Timekeeping, Court Records Management). **Sharing existing software reduces licensing and support costs.**

#### Deploy a shared citizen-centric web portal

Currently, each agency maintains individual web presences. A common portal will unify the Courts' web presence and present information from a stakeholder perspective. It guides stakeholders to information services based on identifying their needs rather than assuming the user knows where to find what they need. **A common portal encourages citizens to utilize court web services at a greater rate. It promotes self-service as an alternative to walk-in, phone-in, and mail-in services and allows the agencies to share design and programming costs.**

#### Improve use of County intranet

Intranets provide the organization's employees with a mechanism for communicating with one another. They help employees exchange data, download files, and act as a hub for important information notices (e.g., policies, procedures, forms). Once integrated into organizational culture, intranets are a great internal communications tool. **Increased use of a common intranet prevents redundant data entry, improves data sharing, and simplifies organizational information gathering.**

*The Courts need a comprehensive cost/benefit analysis of case management software choices that will appropriately inform agency decision-makers.*

## Enhance IT Decision-Making

### Collaborate on Annual Conceptual Review Process

To foster technology collaboration among the Courts, meet to share plans and information before new projects go through the conceptual review process. Participants should consist of representatives from each agency, including technology managers, leadership staff, and departmental employees, and, more importantly, should include people from other law, safety, and justice agencies. This cooperation should ***not*** replace current reporting structures within the individual agencies nor should it exert any budget authority. It should, however, facilitate and support law, safety, and justice partnerships. ***This alliance enables the agencies to successfully work together and to reach consensus on mutually beneficial and shared technology improvement projects.***

### Conduct a joint case management feasibility study

Once the State CMS direction is clearer, analyze various case management solution options for both the Superior Court and the District Court. A study should include development and/or procurement costs, maintenance costs, and functional description. The Courts need a comprehensive cost/benefit analysis of software choices that will appropriately inform agency decision-makers. While short-term needs appear pressing, case management automation is a mission-critical function and requires a long-term, strategic decision. ***Results of the study will assuage case management automation concerns among the three agencies and answer some, if not all, questions about how to best proceed with respect to the State CMS.***

### Develop coordinated disaster recovery plans

In line with current efforts, create court-specific technology disaster recovery plans (DRPs). These plans describe policies and procedures for the resumption of technology-related services following a catastrophe and fulfill broader continuity of operations planning requirements within the County. If possible, the Courts should consolidate emergency procedures under a single plan. If not, tasks and processes can still be coordinated among the three agencies. Plan maintenance requires staff training, testing, and consistent review/modification cycles. ***Recovery planning ensures continued operations in the event of a natural disaster or other service outage and streamlines emergency backup and recovery processes as staff become familiar with procedures. It improves service restoration, reduces or prevents downtime, ensures data security, and guides management decisions. Coordination among the Courts ensures the Courts can continue providing judicial services in the event of a disaster or service outage.***



### Enhance performance measurement automation

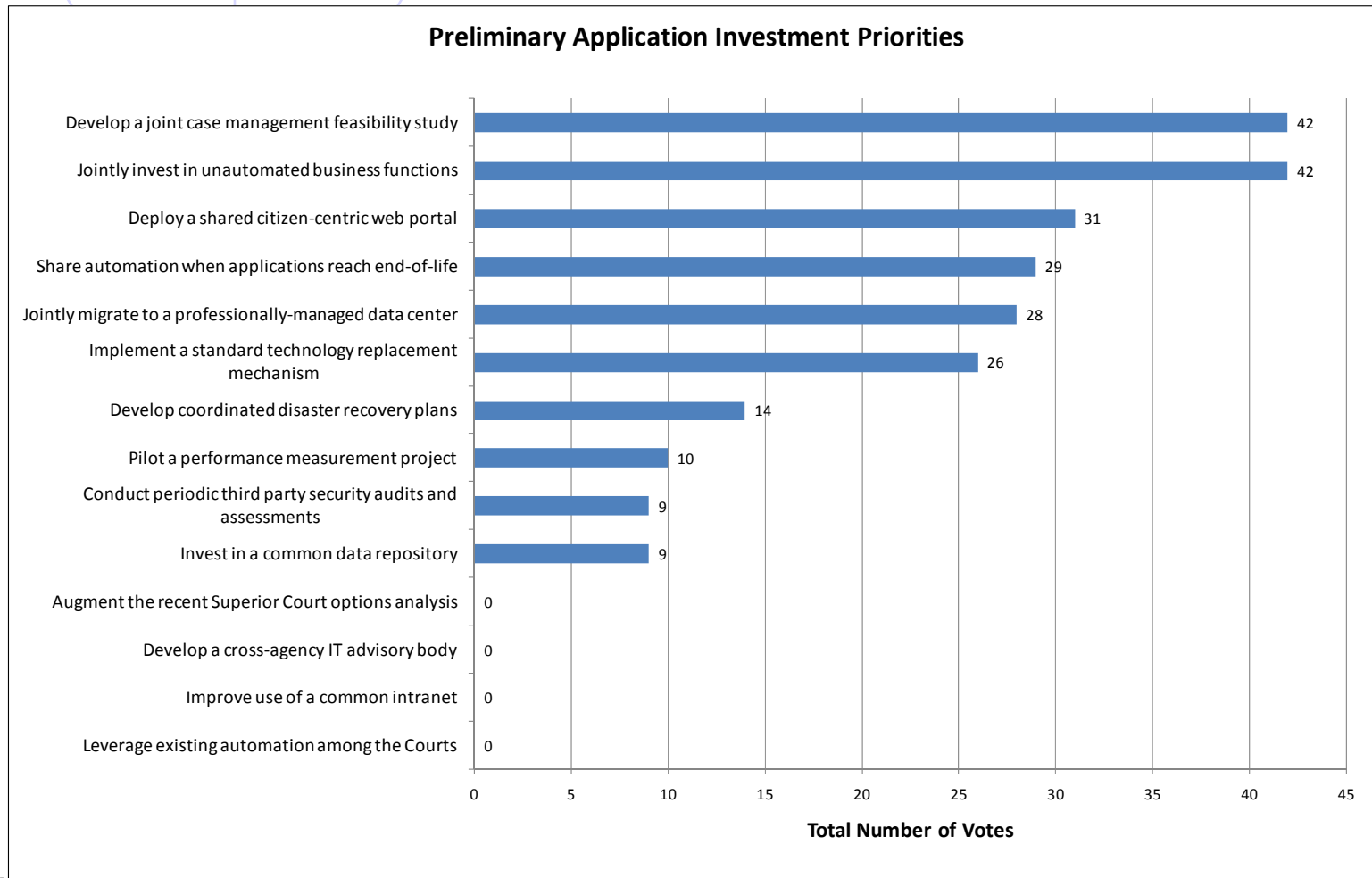
Critical areas for operations, tactical and strategic performance management have already been defined by CourTools key outcome measures. Verify the stability and reliability of source systems for gathering attendant operational data. Enhance automation surrounding the acquisition, analysis and presentation of this data. ***Automated performance measurement enables faster and more effective decision-making. It highlights both successful and deficient functional areas, supporting improved management.***

3

## Recommendation Prioritization

After validating our recommendations, PTI facilitated a voting process with the project steering committee aimed at identifying the Courts strategic technology priorities. We asked committee members to prioritize the recommendations they felt were the most important and valuable, using the assessment findings, strategic issues, and perceived business needs as a guide. PTI allocated equal votes to each of the three agencies and used the results to rank recommendations. The chart below details the voting results and may inform potential projects as the Courts aim to cooperate further in the future.

3



## Benefits

By implementing the recommendations described in this plan, the Courts will achieve the following benefits:

- **Reliable and efficient support of court business functions**
- **A strategic “blueprint” for information sharing with other law and justice agencies**
- **Improved operational efficiency, reduced costs and higher productivity**
- **Superior service delivery to citizens**
- **Increased cooperation and communication among the three court agencies**
- **Reliable funding for technology upgrades and replacement**
- **Better governance and decision-making tools**
- **Maximized return on technology investment**



**King County**

## **Appendix A**

List of Participants



## Appendix A – List of Participants

KC Courts ~ Combined Participants		
Name	Position/Title	Department/Agency
Aagen, Dan	Applications Developer	DJA
Aiello, Sarina	Division Manager, RJC	DJA
Bailey, Teresa	Deputy Director	DJA
Bednared, Paggy	Budget Analyst	District Court
Bell, Stephen	Division Manager, IT	DJA
Brunner, Donna	Director, Budget and New Development	District Court
Byrne, Bob	Bailiff	Superior Court
Chea, Chok	PC Tech	District Court
Crozier, Tricia	Chief Administrative Officer	District Court
Daggett, Kevin	IT Systems Supervisor	Superior Court
Ennis, Lea	Director of Court Operations	Superior Court
Fisher, Jane	Court Manager	District Court
Gilmer, Andy	Database Admin	District Court
Grindle, Cathy	Technology Director	District Court
Hullett, Judy	Sr. HR. Analyst	Superior Court
Hynden, Lynnette	Manager - CIA	DJA
Ito, Jerry	LAN Admin	Superior Court
Jenson, Scott	Sr Systems Engineer	DJA
Jimenez, Josie	Acting East Division Director	District Court
Kohler, Patti	Acting South Division Director	District Court
Linde, Barbara	Presiding Judge	District Court

A

## Appendix A – List of Participants (cont.)

Name	Position/Title	Department/Agency
McAllister, Joel	Finance Manager	DJA
McCutcheon, Stephanie	Program Manager	District Court
Miner, Barb	Director & Superior Court Clerk	DJA
Moore, Jorene	Director - Family Court Operations	Superior Court
Ramerman, Byron	LAN Admin	District Court
Ridge, Linda	Deputy Chief Administrative Officer	Superior Court
Ruhl, Pamela	Information Technology Director	Superior Court
Saleh, Aicha	Office Tech	District Court
Sawrey, Susana	Assistant Program Manager - Interpreter	District Court
Smith, Lois	Mental Health Court Manager	District Court
Smith, Thomas	Sr. LAN Admin	DJA
Trickey, Michael	Presiding Judge	Superior Court
Wood, Paul	Manager, Juvenile	DJA

A



**King County**

## **Appendix B**

Business Function Model



## Appendix B – Business Function Model

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This appendix is organized as follows:

- Introduction
- Business Function Model Diagram

### Introduction

#### What is a Business Function Model?

A business function model identifies in a structured format the activities an organization performs to meet its business objectives. Each of the activities shown in a business function model becomes a potential candidate for automation. The model, therefore, serves as a template for driving an organization's overall approach to automating its business functions.

It is important to distinguish between a function model and an organization model. An organization model depicts an enterprise's structure, typically, in a hierarchical fashion. **A business function model depicts what an organization does**, independent of organizational structure.

Business functions tend to be much more stable than organizational units. Organizations typically change over time to accommodate changes in how an enterprise does its work. The business functions themselves remain relatively unchanged, unless the business significantly alters its mix of services and/or products.

Due to the unique nature of this engagement, the subsequent function model incorporates the combined business activities of all three King County Court entities. This model is both a mechanism for identifying commonalities among the organization and a basis for developing an ideal application architecture.

#### Diagramming Conventions

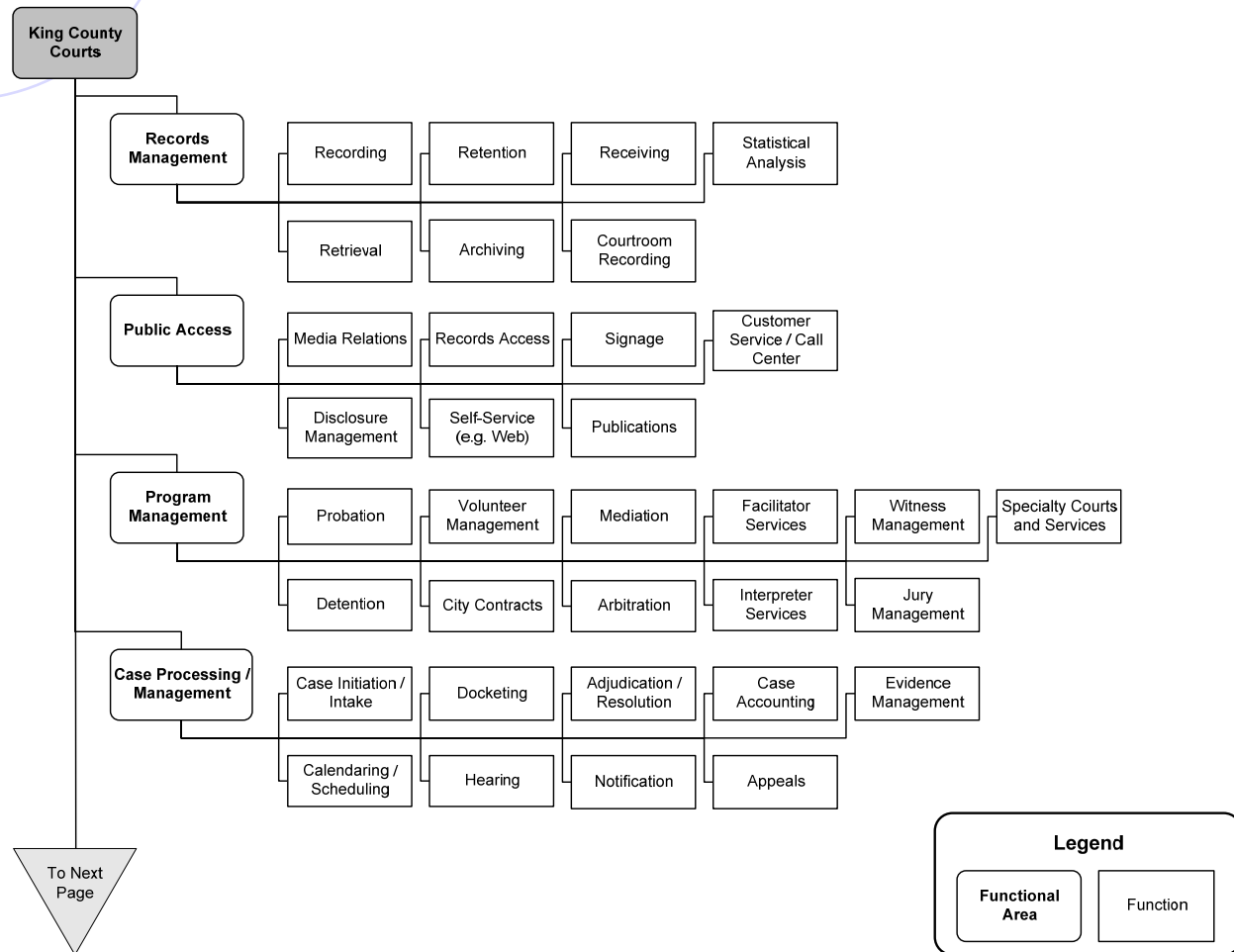
Business function models contain two primary components:

- **Functional Areas** – the major categorization of all tasks required to conduct business (e.g., “Records Management” is a court functional area)
- **Functions** – a group of ongoing activities which, together, completely support one functional area (e.g., “Retrieval” is a subordinate function within the “Records Management” functional area)

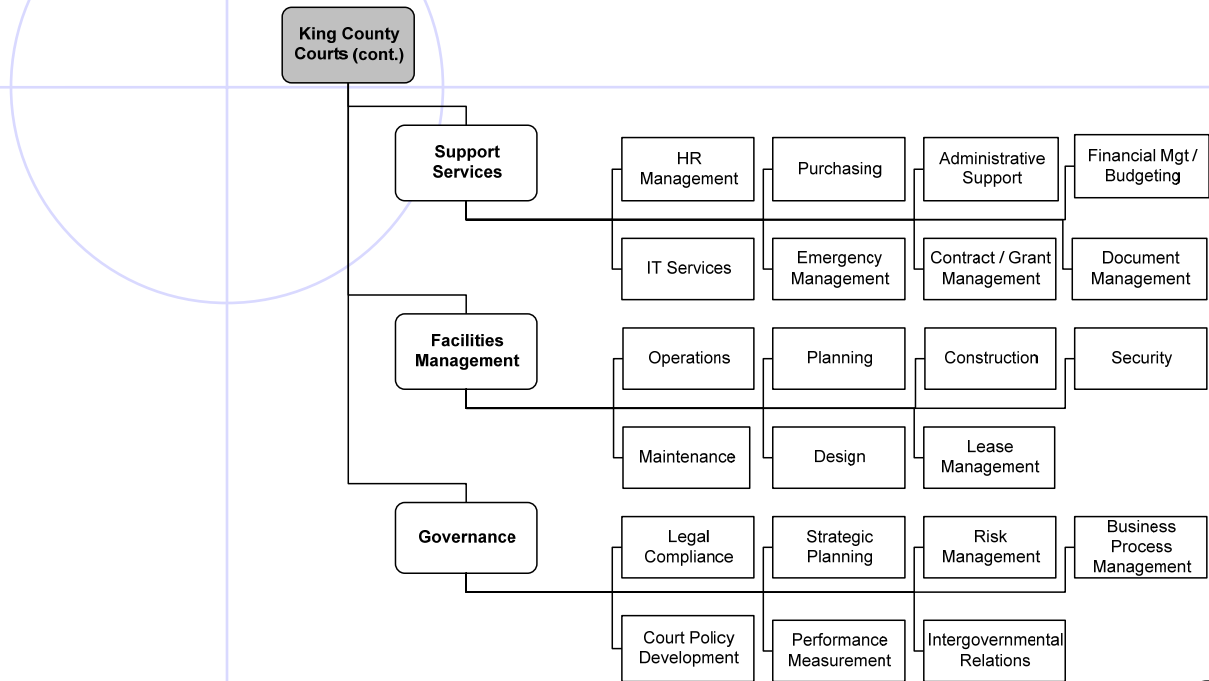
The diagram on the following pages depicts a combined business function model for the three King County Courts entities: the King County Superior Court (KCSC), the Department of Judicial Administration (DJA), and the King County District Court (KDCD). The “roundtangles” represent functional areas. The rectangles connected to the right of the roundtangles represent subordinate business functions. Lower level processes are not defined in this model. Please note that the order in which the functional areas and functions are listed does not imply any precedence or prioritization.

B

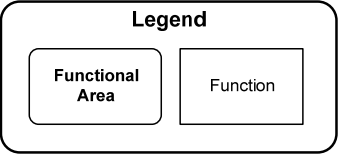
### Business Function Model Diagram



## Business Function Model Diagram (cont.)



B





**King County**

## **Appendix C**

Ideal Application Architecture



## Appendix C – Ideal Application Architecture

This appendix is organized as follows:

- Introduction
- Conceptual Model
- Gap Analysis Summary
- Gap Analysis Detail

### Introduction

#### What is an ideal application architecture?

An *application architecture* graphically displays how software automates an organization's business functions. Because an application architecture is functionally-based, its design is independent of organization structure.

An *ideal* application architecture goes a step further and depicts how business functions might be automated in a "perfect world" (i.e., without cost and resource constraints). PTI utilizes the ideal application architecture to inform an overall approach to business function automation.

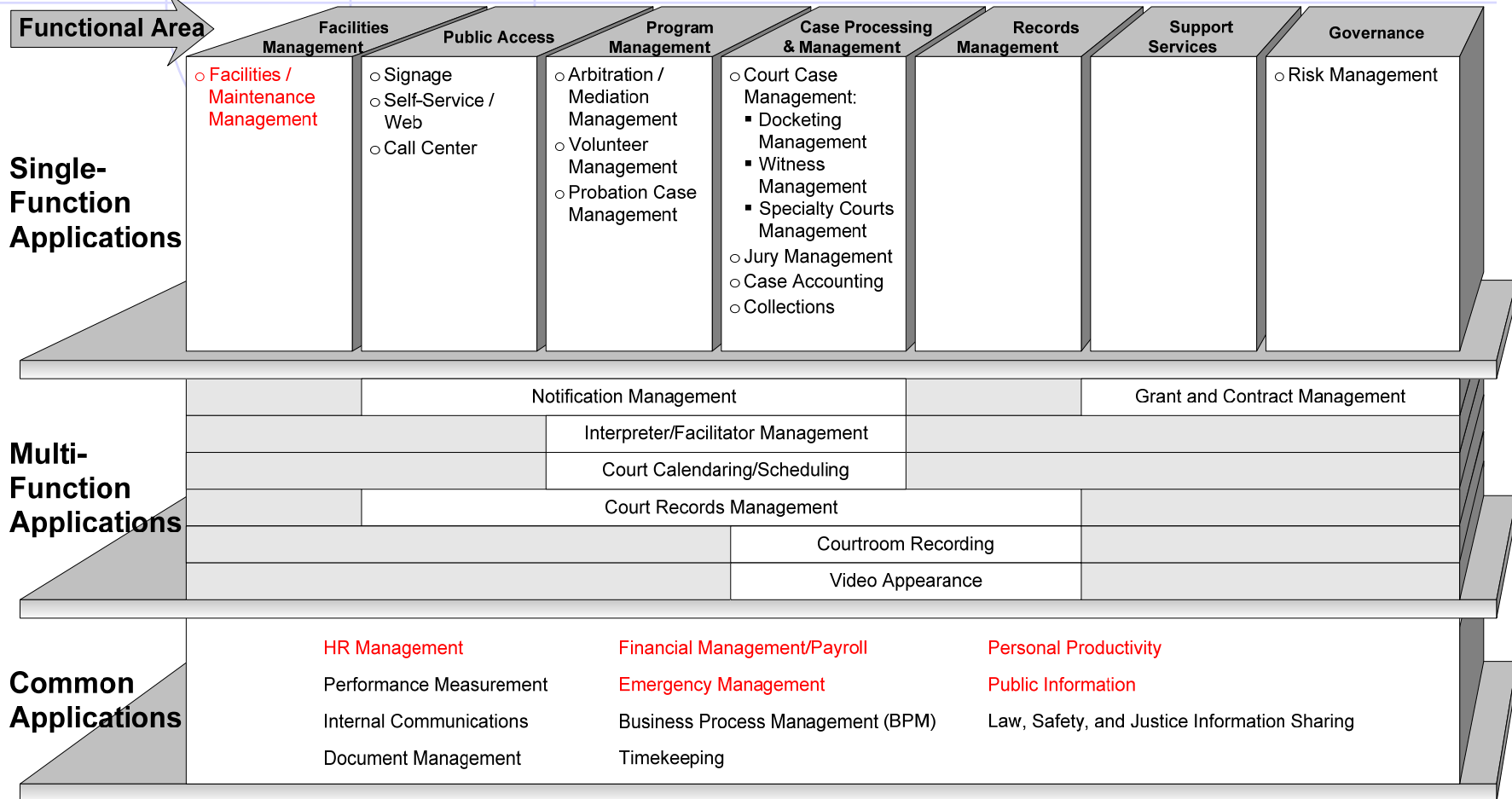
We distinguish the applications shown on the ideal application architecture as follows:

- Single-function – applications supporting a single business function
- Multi-function – applications supporting multiple business functions
- Common – applications supporting all business functions

Due to the unique nature of this plan, the ideal application architecture on the following page combines the business functions of all three King County Court entities and includes existing common applications provided to all King County departments.

**The following diagram does not distinguish applications by individual court agency. Those relationships are depicted by a subsequent chart on page C – 4.**

## Conceptual Model



<b>Legend</b>	Court Specific Applications
	Existing King County Applications

## Gap Analysis Summary

### What is a gap analysis?

A *gap analysis* assesses the current state of an organization in comparison to an ideal state. For this engagement, PTI classifies application gaps as follows:

- Minimal – the function or functions are well automated
- Moderate – the function or functions are only partially automated
- Severe – existing automation does not automate the function or functions well
- Unautomated – this function has no automation

Generally, an application gap analysis focuses on the functions and applications of a single organization. The following model depicts specific automation gaps within each of the three agencies.

Functional areas are listed along the left-hand side of the diagram. Each King County Court entity is represented by a unique column and gaps in automation are color-coded. Below each column, a pie chart portrays the overall gap assessment for each agency. Applications currently shared among agencies, particularly the Superior Court and the DJA, are denoted by bars stretching across multiple columns.

C

## Gap Analysis Detail

### Single-Function Applications

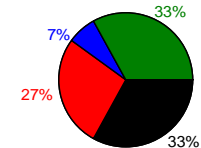
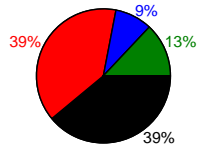
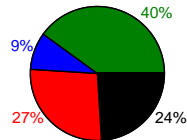
	District Court	Superior Court	DJA
Public Access	Signage	Signage	Signage
	Self-service/Web (Link2Gov, KC website)	Self-service/Web (KC website)	Self-service/Web (ECR Online, e-Filing)
	Call Center	Call Center	Call Center
Program Management	Arbitration/Mediation Mgt.	Arbitration/Mediation Mgt. (Paradox, SCOMIS)	
		Volunteer Management	
		Probation Case Management (PCMS II)	
Case Processing and Management	Court Case Management (JIS)	Court Case Management (KCMS, JJWeb)	
	Docketing Management (JIS)		Docketing Management (JIS, SCOMIS)
	Witness Management (OIRM program 1.0)	Witness Management	
		Specialty Courts Mgt. (Monitor.NET)	Specialty Courts Mgt. (Monitor.NET)
	Jury Management (Access Database, ACS)	Jury Management (ACS)	
	Case Accounting	Case Accounting (NCFEES)	Case Accounting (NCFEES)
	Collections (??)		Collections (JASS, JRS)
Governance	Risk Management	Risk Management	Risk Management
Multi-Function Applications	Notification Management (ACR System)	Notification Management	
	Grant and Contract Management	Grant and Contract Management	Grant and Contract Management
	Interpreter/Facilitator Mgt. (Interpreter Web)	Interpreter/Facilitator Management	
	Court Scheduling (Master Calendar)	Court Scheduling (CMIS)	Court Scheduling (Case Scheduling)
	Court Records Management (Dcor)		Court Records Management (ECR)
		Courtroom Recording (FTR Gold)	
Common Applications		Video Appearance (Vipr)	
	Document Management	Document Management	Document Management
		Internal Communications (Vipr)	
	Timekeeping (TimeForce)	Timekeeping (Word, Excel)	Timekeeping
	Performance Measurement (Excel)		

Superior Court provides jury management services using ACS to two (2) major District Court locations

Common and multi-function applications refer to software shared across some or all business functions from the business function model, **not** applications shared among some or all agencies

District Court provides video appearance capabilities to non-contract courts

Overall Gap Assessment	Minimal
	Moderate
	Severe
	Unautomated





**King County**

## **Appendix D**

Application Review Detail



## Appendix D – Application Review Detail

This appendix presents PTI’s application “gap analysis.” Simply stated, we compare the functionality “gap” between the Courts’ existing applications and PTI’s “ideal application architecture” model.

Based on our desk-side application interviews and focus groups conducted on-site, PTI categorized current application as having “minimal,” “moderate,” or “severe” gaps in comparison to the “ideal” software portfolio, or simply being “unautomated.”

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### Gap Analysis (cont.)

Call Center	
<b>Ideal Application Description:</b>	Provides a central point of contact beyond the web for citizens and stakeholders to contact the Courts to attain information.
<b>Benefits:</b>	Focuses questions to a service that specializes in informing citizens and stakeholders, making use of economies of scale. Contributes to an efficient judicial process.
<b>Existing Applications:</b>	<b>District Court:</b> Unknown <b>Superior Court:</b> None <b>DJA:</b> Automatic Call Distributor (ACD)
<b>Gap Analysis Summary:</b>	Not reviewed
<b>Overall Gap Assessment:</b>	<b>District Court:</b> <b>Severe</b> (information provided by District Court) <b>Superior Court:</b> Unautomated <b>DJA:</b> <b>Minimal</b>

D

## Gap Analysis (cont.)

Case Accounting	
<b>Ideal Application Description:</b>	Manages cash flow surrounding court cases, including collections, jury expenses, witness compensation and interpreter/mediator payments, etc. Prints invoices and receipts. Tracks individual transactions.
<b>Benefits:</b>	Augments court financial decision-making. Makes cash flow and payment records easily accessible. Minimizes manual accounting processes.
<b>Existing Applications:</b>	<b>District Court:</b> JIS <b>Superior Court:</b> None <b>DJA:</b> NCFEES, JIS, JASS, JRS
<b>Gap Analysis Summary:</b>	Not reviewed
<b>Overall Gap Assessment:</b>	<b>District Court:</b> <b>Minimal</b> (information provided by District Court) <b>Superior Court:</b> <b>Minimal</b> (information provided by Superior Court) <b>DJA:</b> <b>Minimal</b> (information provided by DJA)

D

## Gap Analysis (cont.)

Collections	
<b>Ideal Application Description:</b>	Notifies constituents of their outstanding fines or late payments. Tracks overdue accounts receivable.
<b>Benefits:</b>	Limits the need to search historical case records. Simplifies the collections workflow.
<b>Existing Applications:</b>	<b>District Court:</b> Unknown <b>DJA:</b> None
<b>Gap Analysis Summary:</b>	Not reviewed
<b>Overall Gap Assessment:</b>	<b>District Court:</b> <b>Severe</b> (information provided by District Court) <b>DJA:</b> Unautomated (information provided by DJA)

D

## Gap Analysis (cont.)

Court Case Management	
<b>Ideal Application Description:</b>	Utilizes modifiable workflows for case types and includes scheduling functionality for courtrooms, proceedings (e.g., arraignments, trials, hearings) and interpreters/facilitators. Stores all pertinent case information (e.g., names, contact information) – both official and unofficial court record. Integrates with court records automation to access docketed items.
<b>Benefits:</b>	Guides Court labor effort through the judicial process, ensuring required steps are taken and appropriate processes are adhered to. Reduces courtroom, judge and interpreter/facilitator scheduling labor effort.
<b>Existing Applications:</b>	<b>District Court:</b> JIS – DISCIS <b>Superior Court:</b> KCMS, CMIS, JJWEB <b>DJA:</b> JIS, SCOMIS
<b>Gap Analysis Summary:</b>	<b>District Court:</b> all pertinent case information is taken from JIS and utilized in separate, shadow applications (e.g., Master Calendar, Interpreter Web) because of the lack of functionality in JIS. <b>Superior Court:</b> KCMS and CMIS augment JIS functions for scheduling and unofficial notes, but do so at great financial and labor cost due to the fact that the State of Washington has failed to deliver on their scheduled development and deployment of case management systems.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> <b>Severe</b> <b>Superior Court/DJA:</b> <b>Severe</b>

D

## Gap Analysis (cont.)

Court Records Management	
<b>Ideal Application Description:</b>	Manages the creation and maintenance of court records in electronic and physical form from case initiation to destruction, in accordance with applicable statutory and regulatory mandates. Utilizes electronic filing where permitted by law. Provides online portal for stakeholders to access court records. Integrates with case management automation.
<b>Benefits:</b>	Minimizes paper-based court workflow and associated expenses (e.g., paper, ink, postage, storage and destruction). Enables electronic access to documents – vastly reducing Clerk counter traffic and extending revenue generation onto the web. Provides a one-stop-shop for case records for judicial review.
<b>Existing Applications:</b>	<b>District Court:</b> Dcor <b>Superior Court/DJA:</b> ECR
<b>Gap Analysis Summary:</b>	Dcor largely meets the needs of the District Court. It interfaces with the State's JIS system, automates records retention/destruction, incorporates electronic filing capability, includes a public access portal, and is easy to use for all stakeholders – including judges.  ECR is almost 9 years old and built on a soon-to-be unsupported programming language (VB 6.1). Workflow is currently designed in an ad hoc manner as it was not adequately implemented when the system was procured. The vendor (Sierra Systems) is unable to support ECR to the level desired by the Superior Court and DJA. Importing documents requires individually indexing files.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Minimal <b>Superior Court/DJA:</b> Severe

D

## Gap Analysis (cont.)

Court Scheduling	
<b>Ideal Application Description:</b>	Sets the daily schedule for courtrooms, proceedings and attendant staff (e.g., judges, pro-tems) for cases that require an official court proceeding (e.g., a trial or hearing). Informs signage throughout the courthouse. Integrates with or is part of court case management automation.
<b>Benefits:</b>	Provides needed scheduling functionality to ensure court operations are conducted correctly and efficiently.
<b>Existing Applications:</b>	<p><b>District Court:</b> Master Calendar</p> <p><b>Superior Court:</b> CMIS</p> <p><b>DJA:</b> Case Scheduling</p>
<b>Gap Analysis Summary:</b>	<p>Master Calendar screen scrapes required information from DISCIS. It provides needed functionality for judges and the Clerk. Master Calendar is very well supported by OIRM.</p> <p>CMIS is expensive and is only used for scheduling due to the delay associated with processing arraignments through the DJA and SCOMIS. Because it's a shadow application, it requires redundant data entry.</p> <p>Case Scheduling was not reviewed.</p>
<b>Overall Gap Assessment:</b>	<p><b>District Court:</b> Minimal</p> <p><b>Superior Court:</b> Severe</p> <p><b>DJA:</b> Minimal (information provided by DJA)</p>

D

## Gap Analysis (cont.)

Courtroom Recording	
<b>Ideal Application Description:</b>	Records audio and – optionally – video from judicial proceedings to serve as an official record.
<b>Benefits:</b>	Augments the stenographer’s transcription of court events and serves as an alternate record if needed.
<b>Existing Applications:</b>	<b>District Court:</b> FTR Gold <b>Superior Court:</b> FTR Gold
<b>Gap Analysis Summary:</b>	FTR Gold is widely regarded as a best-of-breed application. It meets the needs of both courts, is well supported and generally easy to use.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Minimal <b>Superior Court:</b> Minimal

D

## Gap Analysis (cont.)

Docketing Management	
<b>Ideal Application Description:</b>	Manages the submission and organization of official legal documents pertaining to civil and criminal cases.
<b>Benefits:</b>	Serves as a central location for official court records, providing access to those records to all appropriate parties.
<b>Existing Applications:</b>	<b>District Court:</b> JIS – DISCIS <b>Superior Court/DJA:</b> JIS – SCOMIS
<b>Gap Analysis Summary:</b>	Not reviewed
<b>Overall Gap Assessment:</b>	<b>District Court:</b> <b>Severe</b> (information provided by District Court) <b>Superior Court/DJA:</b> <b>Severe</b> (information provided by Superior Court/DJA)

D

## Gap Analysis (cont.)

Internal Communications	
<b>Ideal Application Description:</b>	This application provides the Courts' employees with a means of communicating with one another.
<b>Benefits:</b>	It enables employees to meet in virtual groups to disseminate important information to a wider audience.
<b>Existing Applications:</b>	Vipr
<b>Gap Analysis Summary:</b>	Though expensive, Vipr has extremely good videoconferencing quality and is very easy to use.
<b>Overall Gap Assessment:</b>	Minimal

D

## Gap Analysis (cont.)

Interpreter/Facilitator Management	
<b>Ideal Application Description:</b>	Manages scheduling and assignment of interpreter services at all court locations. In addition, it allows the public to view whether or not an interpreter is assigned to a case. Tracks interpreter/facilitator payments and facilitates auditing. Includes reporting capability. Part of case management and scheduling automation.
<b>Benefits:</b>	Automates and simplifies interpreter/facilitator scheduling and payment, reducing the manual labor and costs associated with those functions.
<b>Existing Applications:</b>	<b>District Court:</b> Interpreter Web <b>Superior Court:</b> New system went live on April 14 <sup>th</sup> , 2008
<b>Gap Analysis Summary:</b>	Interpreter Web meets the needs of the District Court and has all but one component of the ideal application – it lacks integration with case management and scheduling automation.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Minimal <b>Superior Court:</b> New system not reviewed

D

## Gap Analysis (cont.)

Jury Management	
<b>Ideal Application Description:</b>	Integrates with official citizen records from elections and other agencies for the organization itself as well as other contracting entities. Summons a random pool of jurors from those who are eligible. Supports juror excuses and rescheduling, in addition to processing juror payment. Provides transparent statistical reporting.
<b>Benefits:</b>	Fairly chooses jurors to summon and efficiently processes their response, facilitating the judicial process.
<b>Existing Applications:</b>	<b>District Court:</b> in-house custom Access database <b>Superior Court:</b> ACS
<b>Gap Analysis Summary:</b>	The District Court's application is custom built and over 10 years old. It does not distinguish jurors who have served for the Superior Court, and it does not support juror excuses and rescheduling. It also does not automatically process returned summonses. Requires extensive data entry and maintenance.  Though old, Superior Court's ACS largely accomplishes the jury summons and management business functions. ACS is referred to as a "black box" due to its unknown randomizing processes – in place to eliminate any suspicion of selection bias. As a result, the Superior Court cannot review the system's method(s) for gathering and reporting statistics. ACS is integrated with Elections' and the Secretary of State's citizen databases.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Severe <b>Superior Court:</b> Moderate

D

## Gap Analysis (cont.)

Notification Management	
<b>Ideal Application Description:</b>	Provides phone and email notice to people with impending court proceedings. Integrated with court scheduling and case management for contact information.
<b>Benefits:</b>	Cost-effectively reminds stakeholders of their judicial event – reducing absences and ensuring the court makes the best use of its time.
<b>Existing Applications:</b>	<b>District Court:</b> ACR (outsourced) <b>Superior Court:</b> None
<b>Gap Analysis Summary:</b>	The District Court queries DISCIS for court proceedings taking place the following week, then provides that data to ACR. ACR then notifies the attendant party via phone. The system/service includes online tools, but it is difficult to tell if the system is working well. Though District Court is satisfied with the application, they will be analyzing other services when their contract with ACR expires in 2008.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Minimal <b>Superior Court:</b> Unautomated

D

## Gap Analysis (cont.)

Performance Measurement	
<b>Ideal Application Description:</b>	This application collects data from the Courts' key operational information systems, and allows management to analyze this data from a variety of perspectives. The application distills business meaning from large volumes of data by providing a unified view of the outputs of operationally distinct systems. It also links to all of the Courts' business-critical applications.
<b>Benefits:</b>	Facilitates strategic planning and analysis, and reporting of department service levels to the public, elected officials, and other accountability sources. Ensures that future investments and initiatives reflect coordinated view of the departments.
<b>Existing Applications:</b>	<b>Superior Court:</b> Access, SAS <b>District Court:</b> Shadow Applications
<b>Gap Analysis Summary:</b>	<b>Superior Court:</b> Superior Court pulls monthly operational data from SCOMIS into an Access database. This data is then translated into an ASCII file which can be interpreted by SAS, a powerful statistical analysis application. At this point, Superior Court's statistician manipulates the data and customizes reports based on management needs and requests. Superior Court has placed a strong emphasis on identifying environmental and performance trends to support decision-making. However, this is a manually intensive process and automation remains limited. <b>District Court:</b> District Court has begun using CourTools outcomes to measure performance. However, data and trend calculations are managed in simple Excel spreadsheets and are not consolidated.
<b>Overall Gap Assessment:</b>	<b>Severe</b>

D

### Gap Analysis (cont.)

Probation Case Management	
<b>Ideal Application Description:</b>	Manages cases which require probation for individual(s), incorporating probation orders, hearings, programs, drug tests and results, etc. Part of – or closely integrated with – case management automation, with specific workflow and rules associated with probation activities.
<b>Benefits:</b>	Increases efficiency surrounding probation management and activities.
<b>Existing Applications:</b>	<b>Superior Court:</b> PCMS II <b>District Court:</b> Not reviewed
<b>Gap Analysis Summary:</b>	Not reviewed
<b>Overall Gap Assessment:</b>	N/A

D

## Gap Analysis (cont.)

Self-Service/Web	
<b>Ideal Application Description:</b>	A common portal for all three agencies should provide citizens and stakeholders a convenient and easy to navigate resource for acquiring judicial information, potentially including case-specific information (e.g., important dates and locations) and documents. Information should be organized from a stakeholder – rather than organizational – point of view. The agencies’ web presence should also handle electronic transactions.
<b>Benefits:</b>	Reduces telephone and walk-in traffic for stakeholders seeking information and services. Leads to more informed customers, helping streamline judicial operations.
<b>Existing Applications:</b>	Link2Gov, and District, DJA and Superior Court websites
<b>Gap Analysis Summary:</b>	<p>Link2Gov provides online and phone transaction processes for fines, citations, and other District Court payments. This improves payee verification, accuracy and access to payment histories. Link2Gov also offers integration potential with JIS and the State CMS.</p> <p>The Courts currently do not have a common Internet portal even though web services are provided by King County. The web site contains vast amounts of judicial information, but it is not easily navigable or citizen-oriented and it does not offer online transaction functionality aside from District Court’s Link2Gov.</p>
<b>Overall Gap Assessment:</b>	<p><b>District Court:</b> Minimal</p> <p><b>Superior Court:</b> Moderate</p> <p><b>DJA:</b> Moderate</p>

D

## Gap Analysis (cont.)

Specialty Courts Management	
<b>Ideal Application Description:</b>	Automates case management for specific areas (e.g., juvenile, drug, mental health) – entailing more complicated rules and data requirements than typical cases (e.g., tracking individual’s histories, detentions, family and school information, and other matters pending).
<b>Benefits:</b>	Meets statutory regulations surrounding the processing of specific court cases. Guides prosecution of individuals. Reports key case data to the State.
<b>Existing Applications:</b>	<b>Superior Court:</b> JJWEB, Monitor.NET
<b>Gap Analysis Summary:</b>	JJWEB has been in use for approximately 6 years. It lacks support for a variety of functions Juvenile Court needs, necessitating the use of shadow applications or manual processes. Superior Court is tentatively pursuing a replacement.  Monitor.NET was not reviewed.
<b>Overall Gap Assessment:</b>	<b>Severe</b>

D

## Gap Analysis (cont.)

Timekeeping	
<b>Ideal Application Description:</b>	Usually part of – or tightly integrated with – an organization’s human resources/payroll system, timekeeping provides employees an electronic method for entering work hours. Often, these systems can adhere to various timekeeping methods and rules associated with various areas of the organization (e.g., shifts in excess of 8 hours for public safety employees) as well as union requirements.
<b>Benefits:</b>	Provides employees an intuitive and easy to use interface for recording their time. Reduces labor effort and attendant costs associated with transferring time records from paper to a payroll system, or between applications.
<b>Existing Applications:</b>	<b>District Court:</b> TimeForce <b>Superior Court:</b> Shadow applications <b>DJA:</b> None
<b>Gap Analysis Summary:</b>	TimeForce offers most of the ideal timekeeping functionality. However, it does not integrate well with King County’s payroll system, requiring tedious manual processes, and it offers only limited ad hoc reporting. In addition, TimeForce’s web-based functionality is not implemented and vendor support is poor.  Superior Court uses manual processes and shadow applications for Timekeeping (Microsoft Word and Excel).  DJA’s timekeeping is unautomated.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Moderate <b>Superior Court:</b> Severe <b>DJA:</b> Unautomated

D

### Gap Analysis (cont.)

Video Appearance	
<b>Ideal Application Description:</b>	Provides integrated audio and video communications between the court and jail, or other offsite location.
<b>Benefits:</b>	Eliminates costs, risks and inconvenience associated with transporting suspects/inmates to the appropriate court for arraignment and/or trials.
<b>Existing Applications:</b>	Vipr
<b>Gap Analysis Summary:</b>	District Court originally purchased Vipr for video appearance, but found that, without specific enhancements, it wasn't suitable for this purpose. The vendor is currently improving Vipr for this functionality, and King County expects to utilize Vipr for video appearance when the enhancements become available. Currently, Superior Court uses Vipr strictly for videoconferencing.
<b>Overall Gap Assessment:</b>	<b>Severe</b>

D

## Gap Analysis (cont.)

Witness Management	
<b>Ideal Application Description:</b>	Schedules witnesses for court appearances. Prints subpoenas. Processes associated witness expenses through integration with Accounts Payable and remits payment.
<b>Benefits:</b>	Eliminates manual witness management processes. Tracks and records witness data/costs. Enables managers to improve witness scheduling efficiency and reduce costs.
<b>Existing Applications:</b>	<b>District Court:</b> Witness Management Program 1.0 (OIRM-developed) <b>Superior Court:</b> None
<b>Gap Analysis Summary:</b>	The newly developed Witness Management Program offers all the ideal application functionality. In addition, it provides web-based interactivity for witnesses and prosecutors.
<b>Overall Gap Assessment:</b>	<b>District Court:</b> Minimal <b>Superior Court:</b> Unautomated

D