

KING COUNTY DEPARTMENT OF JUDICIAL ADMINISTRATION

CHARTER OF THE ECR CONNECTIVITY PROJECT

I. Project Detail

A. Purpose – The purpose of the ECR Connectivity Project is to enable access from desktops in King County's Law, Safety & Justice (LSJ) agencies and from PCs for public use in DJA's file reading areas to Superior Court case files that exist in the Core Electronic Court Records (ECR) system. This access includes files for cases that were opened on or after January 3, 2000, and for cases formally archived in 1997 and later.

B. Objectives –

- 1) The *strategic objective* of the Project is to promote LSJ Integration within King County by providing access to the Core ECR database of imaged case file documents to support work now done using hard copy case files obtained from DJA.
- 2) The *business objective* is to increase the speed of access to Superior Court case files for LSJ staff whose work involves accessing those files, and to reduce and ultimately eliminate, the work required by DJA to provide and maintain hard copy case records.
- 3) The *technical objective* is to establish web-based access to the Core ECR images for LSJ and public users from locations within the King County Wide Area Network (WAN).

C. Scope - The ECR Connectivity Project will provide electronic access to Superior Court case records by LSJ agencies and the public. Offices within LSJ agencies for which access is provided must be within the King County Wide Area Network (KCWAN). Public access is limited to the file reading areas within DJA offices.

Project funds will be used for required licensing for additional access to the Core ECR system, technology required to support increased volume and demands upon the Core ECR system, and desktop equipment as follows: hardware and software required to enable web access to Core ECR, including an operating system and web browser capable of accessing Core ECR. Project funds are not available to provide other software tools, the remodeling or renovation of courtrooms or offices, furniture, or supplies.

A *Protocol* (agreement) will be completed with each LSJ department laying out the expectations and roles assigned to DJA and departmental staff in areas such as training, equipment tracking and management, and the like. The Protocol will also state the projected time when hard copy services will no longer be available after Connectivity deployment.

D. Stakeholders - Stakeholders are those agencies whose work involves accessing the Superior Court case files in DJA's custody. The LSJ stakeholders include the Judges and courtroom staff of the Superior Court (in the downtown Courthouse, Regional Justice Center, Harborview, and Juvenile facilities), Courtroom Clerks, staff of the Superior Court Administrator, the King County Sheriff, the King County Prosecuting Attorney, the King County Office of Public Defense and its contract agencies, the King County Department of Adult and Juvenile Detention, the Department of Judicial Administration (in serving public users of case files), and the King County District Court. Stakeholders are

represented to the Project by the members of the Law, Safety and Justice Business Area Committee (LSJ BAC).

E. Success measurements - Success will be achieved when the foundation has been laid through Connectivity so that DJA no longer needs to provide hard-copy access to imaged cases. Interim measures of success will be indicated by:

- 1) Business needs of stakeholders identified and recorded in writing.
- 2) Equipment requirements determined and orders placed for equipment found to be unavailable within each department currently or through other fund sources.
- 3) Installations of new equipment required to enable access.
- 4) An increasing number of LSJ users linked to Core ECR who use ECR to obtain records.
- 5) A decrease in public requests for hard copy files in favor of accessing records using Core ECR images. These will be evidenced through decreased requests for DJA Access staff to retrieve, check out, check in, and re-shelve file folders.
- 6) A decrease in the net waiting time for users for access to newly filed documents should be observed as well. (Both the 5-day wait for filed documents to reach the case file folder and the period of waiting from the time a file is requested from DJA, through Will-Call or other means, will be noticeably reduced.)

F. Assumptions and Constraints – It is assumed the Project can be completed by October 31, 2000. A constraint will be the ability of each affected organization to participate in business and technical analysis and to complete timely installations. Therefore, it is also assumed that each participating department will provide qualified staff with the time required to participate with DJA in business and technical analysis, equipment decisions, installation, training, and other necessary tasks.

It is assumed that if the business and technical analysis produces technology requirements that exceed what can be funded by the Project, the LSJ BAC will prioritize the requirements and/or provide additional funding. Since the equipment to be obtained through Connectivity will be strictly limited to that which is necessary to support work that currently requires access to the case file, it is also assumed that departments will not request Connectivity resources in order to supplant other resources available to provide computers and other items of technology.

It is assumed that the equipment needed for the Project will be readily obtainable under the County's existing supplier contracts.

It is assumed that affected departments will ensure that all affected staff shall be given adequate time to participate in the training activities required for them to access images through ECR.

It is assumed that affected departments will direct staff who require access to case files to use ECR instead of continuing existing practices requiring available hard copy files.

It is assumed that each Department affected by Connectivity will agree to the *Protocol* developed between it and DJA, allowing for the cessation of hard copy file services at a defined time after Connectivity tasks are completed.

It is assumed that DJA will no longer have to "fine-file" case files for cases filed January 3, 2000 and afterward, once Connectivity is completed.

G. Schedule - The Project began in January 2000 and will be completed by October 31, 2000.

H. Risk Assessment And Contingency Strategies - The principal risk in this plan is that some of the intended Core ECR users turn out to be (insurmountably) unable or unwilling to access case files through the web, thereby demanding or requiring that DJA retain some or all hard copy case file services. A contingency strategy would be to identify exactly the type(s) of files affected by the problem, to continue hard copy services solely in the affected case type(s), to extend the Project schedule, and to provide additional training/coaching for those users along with other necessary support for using images. Additional staff funding or delayed elimination of staff positions would be required to maintain hard copy services beyond the Project's end.

If the Project cannot be completed by October 31, 2000, DJA will be at risk of not having sufficient staff to maintain dual (electronic and hard copy) file systems. One contingency strategy would be to isolate the causes of such delay so as to identify the set of hard copy files for which ongoing hard copy services will be unavoidable. Another contingency strategy would be to provide hard copy through alternative means where needed (e.g., by printing and delivering documents/files to the few users still requiring them). Another strategy would be to obtain new or shifted staffing until the barrier to Project completion is removed.

As to the risk that the business and technical analysis might show that there are technology requirements in excess of what can be funded by the Project, and if the LSJ BAC cannot prioritize the requirements and/or provide additional funding, the deployment of equipment would be constrained generally. The contingency strategies might be to redefine "Connectivity" as providing access to the imaged files "within a stated distance" in various LSJ workplaces, to dedicate certain workstations as providing only "file access," and to identify other sources of technology which can help meet the unmet needs.

If there is a risk of delay in obtaining the needed equipment, DJA would seek alternatives to the County's standard procurement process to ensure the Project schedule would not be compromised.

I. Benefits - Benefits will include a steady reduction in demand for access to hard copy cases placed upon DJA staff. A final benefit will be staff savings from eliminating the hard copy sorting, file maintenance, and file access tasks for Core ECR cases.

Stakeholder benefits will include quicker, more reliable access to Superior Court case files and documents in the Core ECR system, and the ability for multiple users to access the same case file simultaneously.

J. Cost - Funding is provided through the County Information Resource Council (IRC) based on recommendations of the Law, Safety & Justice Business Area Committee (LSJ BAC) in the amount of \$858,585. DJA provides for the overall operation and maintenance of Core ECR through other funds. Agencies which receive hardware/software through this Project will be responsible for supplies, inventory management, and ongoing maintenance after the warranty period.

- K. Project Organization** - The ECR Connectivity Project is sponsored by Paul L. Sherfey, Director of the Department of Judicial Administration. The Project is approved by the LSJ BAC and has the support of all the affected departments. Roger Winters, DJA's ECR Program Manager, is the Project Manager for the Connectivity Project, working with an in-house Committee representing diverse business needs of DJA and assigned to participate in implementing the Project. Technical support is provided by the DJA Technology and Information Services (T&IS) Team.

II. Project Processes

- A. Approval Process** - Milestones and deliverables will be noted in writing, reviewed by the DJA Connectivity Committee, and submitted to the DJA Director for formal acceptance and approval.
- B. Managing Project Changes** - Requests for changes in Project Scope, Schedule, or Budget will be presented to the Project Manager. The Project Manager will formulate the request to facilitate discussion by the DJA Connectivity Committee. A recommendation from the Committee will be forwarded to the DJA Director for review and formal approval. Any major changes in schedule or budget may be referred to the Law, Safety and Justice Business Area Committee (LSJ BAC).
- C. Communications Plan** - The DJA Connectivity Committee will communicate at regular and special meetings and through the Committee e-mail group. Responsibility for representing the Project to stakeholders, other agencies, the press, etc., will be the Project Manager's and may be delegated with specific directions to other members of the Committee. Questions and issues, beyond the simple or routine, raised by stakeholders, other agencies, and others are to be brought to the Project Manager for a response; Committee members should faithfully capture and represent the questions or concerns raised when presenting them to the Manager or Committee.
- D. Standards to be Followed –**
- 1) Existing County desktop standards will be followed.
 - 2) Standards for ECR access and user support will be determined as the Project proceeds.
- E. Document Management** - Documents for the Connectivity Project will be maintained on a common directory in the DJA L: drive, namely L:\ECRConnectComm\. Drafts of documents in development will be progressively numbered from "1" to the final version. E-mail records and meeting notes, with a log of decisions and assignments made, will be maintained by the Project Manager. Meeting notes are subject to correction at subsequent Committee meetings.
- F. Decision-Making Model** - The Committee will make decisions based on consensus. Where consensus cannot be reached, the Project Manager will consider the pros and cons raised in discussion and reach a decision, noting alternate views in meeting notes.
- G. Conflict Resolution Approach** - Ordinarily, conflicts over issues, decisions, and other business matters will be brought to the Committee where resolution by consensus will be sought. Standard departmental recourse for conflict resolution remains available.

III. ECR Connectivity Project Charter: Approval Signatures

Agreement to and acceptance of this Charter is indicated by signatures hereto affixed.

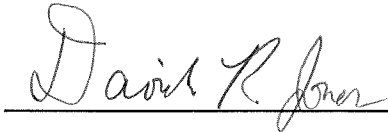
A. Connectivity Committee

Signature:

Date:



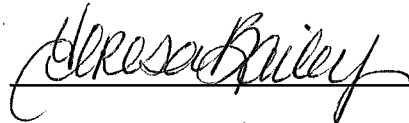
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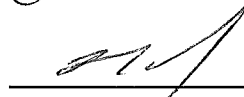
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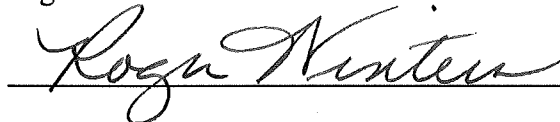


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B. Project Manager

Signature:

Date:

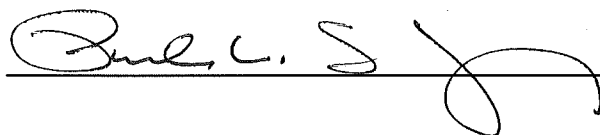


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C. Sponsor

Signature:

Date:



march 3, 2000

DJA & SUPERIOR COURT ECR PROTOCOL

DJA SERVICES	SUPERIOR COURT RESPONSIBILITIES
<p style="text-align: center;"><u>I. ACCESS TO ELECTRONIC FILES</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <ul style="list-style-type: none"> • ECR provides PC-based retrieval to view document images to SUPERIOR COURT staff at locations within the King County WAN. Cases filed after ECR start-up & cases archived since 1997 are available as electronic images. • ECR access is available <i>at least</i> during normal business hours of 8:30 a.m. to 4:30 p.m., Monday - Friday. • DJA provides the paper documents & files for active cases filed since ECR start-up until the SUPERIOR COURT has achieved ECR connectivity. The SUPERIOR COURT will be able to work with case files/documents without accessing hard copy. Approximately 30 days following completion of the SUPERIOR COURT's connectivity with ECR, DJA will discontinue hard copy case records. (Elimination of hard copy files for ECR cases is expected in mid-year 2000.) </div> <div style="width: 48%;"> <ul style="list-style-type: none"> ♦ SUPERIOR COURT continues to provide paper documents when filing with the Clerk during current phases of ECR. ♦ SUPERIOR COURT agrees to support staff in using images, where available, to conduct all work that depends on access to imaged Superior Court case files or documents. </div> </div>	
<p style="text-align: center;"><u>II. TRAINING</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <ul style="list-style-type: none"> • DJA provides user training in ECR log-on, functions, screens, etc. • ECR provides users with on-line Help screens. • DJA provides users with ECR user manuals. • Training in ECR security requirements is emphasized. </div> <div style="width: 48%;"> <ul style="list-style-type: none"> ♦ SUPERIOR COURT ensures case file/document users receive training sponsored by DJA. ♦ SUPERIOR COURT regularly reminds users of required ECR security measures. </div> </div>	
<p style="text-align: center;"><u>III. SUPPORT</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>DJA provides a "Support Line" for information on system status, service restoration estimates (if ECR is down), & for other inquiries regarding the ECR system.</p> <ul style="list-style-type: none"> • ECR support staff from DJA are available from 8:30 a.m. to 4:30 p.m., Monday - Friday, except for holidays. </div> <div style="width: 48%;"> <ul style="list-style-type: none"> ♦ SUPERIOR COURT appoints an ECR Representative (and back-up[s]) as the main contacts for ECR problems. ♦ SUPERIOR COURT ECR Representative(s) call(s) the "Support Line" when problems are first detected. ♦ SUPERIOR COURT posts or distributes ECR service or ECR support notices as provided by DJA. </div> </div>	
<p style="text-align: center;"><u>IV. USERS</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <ul style="list-style-type: none"> • DJA maintains ECR user accounts to manage system access, traffic, & security. • DJA provides access services or limits by assigning user privileges, including access to sealed records. </div> <div style="width: 48%;"> <ul style="list-style-type: none"> ♦ SUPERIOR COURT regularly informs DJA of new, reassigned, or departed staff, to update ECR accounts. ♦ SUPERIOR COURT ensures the basis for user authority to view sealed records, if any, is provided to DJA. ♦ Users follow workstation and ECR system security requirements, including safeguarding & changing passwords as directed. </div> </div>	
<p style="text-align: center;"><u>V. EQUIPMENT</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <ul style="list-style-type: none"> • DJA purchases & maintains software licenses required to support access to ECR for SUPERIOR COURT users. • DJA provides SUPERIOR COURT with assistance in the initial technical set-up of ECR. • DJA provides technical maintenance and upgrades for the ECR system. • DJA technicians will advise the SUPERIOR COURT on how to troubleshoot ECR-related technical problems. • DJA leads the process to procure "Tech Bond" funded items needed to enable staff whose work requires access to Superior Court case files & documents to use ECR effectively. </div> <div style="width: 48%;"> <ul style="list-style-type: none"> ♦ SUPERIOR COURT is responsible for its user equipment & provides the operating system, browser, & other requirements to use ECR to view electronic case files and documents. ♦ SUPERIOR COURT maintains its own network and connection(s) to the County WAN. ♦ SUPERIOR COURT maintains all items of technology obtained for it through the "ECR Connectivity" phase as part of its own property inventory. </div> </div>	