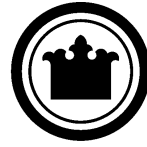


Report to

# King County



**King County**

Department of Judicial Administration, Office of the Superior Court  
Clerk

## Electronic Filing Project

Project Charter

Original Document: Sierra Systems



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Sierra Systems



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### Confidentiality/Validity

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# 1. INTRODUCTION

Sierra Systems has created the Project Charter for the King County Department of Judicial Administration/Office of the Superior Court E-Filing Project. A project charter is created to ensure everyone with a stake in the project's success shares a common understanding of the following:

- Why the project is being conducted.
- What results it will deliver.
- How, through whom, and over what time frame those results will be delivered.

The primary audience for the E-Filing project charter includes the project sponsors, project managers, project working team, and the project steering committee.

## 1.1. Background

The King County Superior Court and the Department of Judicial Administration (DJA) have been working toward an integrated, end-to-end, Electronic Court Records system. This project was begun several years ago and several of the major pieces have been completed. The E-Filing project will complete the steps in building the system.

The existing system uses scanning to capture paper documents and store them in an electronic document management system. This system allows internal viewing and printing of documents within King County.

The E-Filing project will expand the system to enable users throughout the legal community to submit documents electronically and to view documents from any location. Authorized users will submit case documents using a secure website on the internet and the King County intranet. Electronic forms and other documents will be able to be filled directly with the Court without ever being printed. Documents that are already in an electronic form will be able to be added to cases without the manual scanning process. In some situations documents will be able to be electronically transferred from other electronic records systems into the Electronic Court Records system without manual intervention.

A website will be created to provide public viewing of documents on the internet. The website will allow viewing of selected documents depending on criteria established by DJA and the Court. The capability for assessing fees for some access will be part of the system.

The system will be built using modern technology and methodologies. Current standards will be followed for data structures and communication. These include the King County Technology and Security standards, and standards developed by the Washington State Administrative Office of the Courts.



## Introduction

The project will be completed in three iterations to obtain early “Proof of Concept” for crucial elements of the final application. This will allow DJA to monitor development and test key components portions of the anticipated system. The following paragraphs describe the iterations of the project.

In the first iteration the replacement for the current viewer will be built and integrated with the existing “Case Contents” index screen. Principle elements of the E-Filing Website functionality will be created, including filing in existing cases and filing for documents without fees. . The existing ECR systems will be modified to handle E-Filed documents in existing cases, without fees and to allow the creations of clerk’s papers sets that include E-Filed documents.

The second iteration will see the existing ECR upgraded to support the handling of cases initiated via E-Filing and for handling of documents with associated fees. The ability for 3<sup>rd</sup> party EFSPs to submit E-Filed documents via a standards-based interface will be added to the E-Filing system, and other specific functionality will be added to allow for sealing documents at the case and document levels and for online viewing and assessing access fees for such documents. This iteration will include features to handle special processing (i.e. single documents filed to multiple cases) or handle “problem” documents or documents to be returned to the filer. E-Filing functionality for case initiation will be developed along with the ability to view “filing status” online. During this iteration integration points with the County’s E-Commerce utility, with the DJA Case Scheduling System and with the AOC logon/password/PIN function (GR30 compliance) will be established.

The third and final iteration of the electronic filing project includes the ability to print documents from the E-Filing web site and integration with the AOC JIS systems. As well this iteration will see the implementation of the user managed sign up, user managed password and general security features, all of which are GR30 compliance requirements and appropriate integration with the AOC logon/password/PIN function (GR30 compliance).

The project will also have three major releases.

1. The first release is of the new ECR Web Viewer to the existing ECR user community.
2. The second release is a controlled E-Filing Pilot of the system that will be conducted using a select group of users and against a specific set of documents. The pilot will include both viewing and filing of documents. The pilot will use live cases in the production environment. DJA will manage this part of the project with limited assistance from Sierra Systems.
3. The third release will be the full Production Release of the E-Filing application. DJA will manage this part of the project with limited assistance from Sierra Systems under the warranty provisions of the project.



## 2. PROJECT SCOPE AND OBJECTIVES

### 2.1. Scope and Objectives

This section describes Sierra Systems' understanding of the objectives that are expected to be met within the scope of this project.

- Allow attorneys, litigants, court staff and other King County Law, Safety, and Justice (LSJ) agencies to electronically file court documents directly with DJA without requiring (1) the production of paper copies or (2) the services of a third party.
- Integrate the management of electronic filing of such electronic documents with the existing electronic document management (EDM) system.
- Develop automated methods for indexing, docketing, and processing financial transactions through the transfer of data between the filed electronic document and other requisite systems.
- Provide King County with Intranet access for internal agencies to view electronically filed documents, with appropriate access control and security for sealed documents. Build this on the existing system's capabilities for viewing imaged (TIFF) documents.
- Provide Internet access for the general public to the electronic court case records maintained by DJA.
- Comply with all State of Washington standards for electronic filing.
- Work cooperatively with the Washington State Bar Association and other interested parties to promote the use of electronic filing by attorneys and self-represented (pro se) litigants.

### 2.2. Out of Scope

This section identifies the functional requirements that Sierra Systems understands to be excluded from the scope of the application solution for the E-Filing Project. The following paragraphs describe functionality that may be considered as future requirements.

#### Potential Future Use of PKI Digital Signature Technology

- By attorneys and self-represented litigants to access and view sealed documents for which they have permission to view.
- By attorneys, self-represented litigants, parties to a case, and third parties, to sign documents and pleadings prior to electronic filing.



**Project Scope and  
Objectives**

Integration requirements for future internal Superior Court case management systems

- Criminal cases that are managed by CMIS (Court Management Information System), which uses PowerBuilder over Informix.
- Juvenile cases managed through JJWAN (Juvenile Justice Wide Area Network), which uses a FoxPro database.
- Superior Court case management tool is KCMS, which is a .NET application generated using Web Putty.

Typical data elements required by these systems include:

- Case numbers
- Litigant names
- Attorneys and their clients
- Self-represented litigants
- Assigned judge
- Calendar dates
- Types of hearings scheduled, continued and heard. Also included are case assignment areas (either Seattle, which includes Juvenile Court, or the Kent Regional Justice Center)
- Scheduled milestones completed, pending, and/or overdue

Support of judicial officers will be provided in the future through automated tools that provide the ability to electronically deliver and route certain documents to selected attorneys and parties to a case, using information and email addresses maintained by the E-Filing system.

At some time in the future, it may also be desired to add tools to facilitate the electronic delivery of Working Papers to the Court.

It is desired that the Superior Court be enabled to participate in the AOC-based project to build and use an electronic Judgment and Sentence (J&S) document, to be filed electronically. This may include “smart document” applications and other techniques for the development of each J&S in criminal and other cases, as well as XML-based functionality for filing and disseminating copies of the J&S.

King County has an on-going Law, Safety, and Justice (LSJ) integration Project to identify and implement ways in which electronic data can be captured and shared among the systems that belong to LSJ agencies (Superior Court, District Court, DJA, Prosecuting Attorney, Sheriff, Jail and Juvenile). The basic goal is to require the entry of data only once, regardless of when or where it enters the justice system. This will reduce the time, expense, and possible errors arising from the current situation where each agency re-enters the same data even when it is obtained from another LSJ agency.





Future functionality may include the ability to automatically provide legal service of electronically filed documents on other parties (litigants and attorneys) in the case (this feature is often referred to as E-Service). This implies the ability to query SCOMIS for other parties who need to be served to extract their email addresses, and to automatically send an electronic message to those parties. This message would state that a document entitled [Document Title] was filed in a specific case on a specific date and, when clicked ideally, it would provide a URI (Universal Resource Indicator) that would display the document for the receiving party on request (that is, when clicked on).

Future functionality may include the ability to provide *hot links* within a document to other documents.

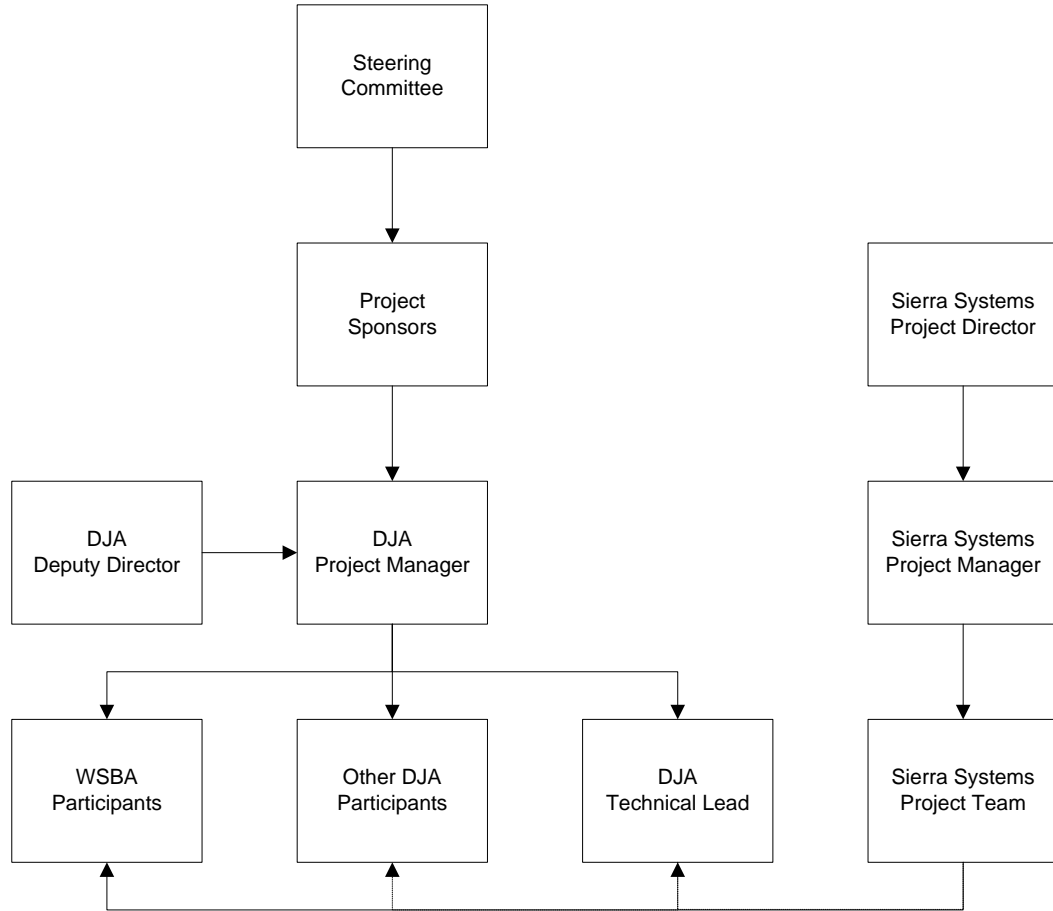
## **Project Scope and Objectives**

**Project Structure  
and Staffing**

## 3. PROJECT STRUCTURE AND STAFFING

### 3.1. Project Organization

The following diagram illustrates Sierra Systems' recommendation for the organizational structure of the E-Filing project.



### 3.2. Stakeholders

Representatives of impacted areas who will be affected by the project and/or who will play a periodic role in the project include:

- King County Information and Technology Services (ITS)
- King County Office of Information Resource Management Project Review Board (OIRM PRB)
- Washington State Administrative Office of the Courts



- DJA Management Team
- DJA Technology Division
- ECR Advisory Committees:
  - DJA ECR Business Committee
  - Superior Court ECR Subcommittee

### 3.3. Accountabilities and Authorities

Roles are specific positions within the project with assigned accountabilities, authorities, and responsibilities. The key roles in the project are described in the following subsections.

#### 3.3.1. Overall Project

The following tables provide the overall project sponsors and responsibilities.

Project Sponsors	
Name	Position
Paul Sherfey	King County Superior Court Chief Administrative Officer
Barbara Miner	Judicial Administration Director and Superior Court Clerk

Role	Responsibilities
<b>Project Sponsors</b>	<ol style="list-style-type: none"> <li>1. Maintain ultimate authority over, and responsibility for, the project.</li> <li>2. Provide overall direction for the project.</li> <li>3. Marshal support for the project from users.</li> <li>4. Secure project management team and executive commitment, approvals and funding.</li> <li>5. Make decisions regarding issues and changes in the project scope, schedule and budget.</li> </ol>

#### 3.3.2. Project Management

DJA Project Manager and Sierra Systems Project Managers work together to coordinate the project activities and monitor the status of the project.

Project Management Team	
Name	Role
Teresa Bailey	DJA Deputy Director
Catherine Krause	DJA Project Manager



**Project Structure  
and Staffing**

Project Management Team	
Kathleen Rogers	Sierra Systems Project Director
Shayne Boyd	Sierra Systems Project Manager

Role	Responsibilities
<b>DJA Deputy Director</b>	DJA has assigned overall responsibility for the E-Filing Project to the DJA Deputy Director. This role exists to ensure the project receives the full support of the resources available within DJA, and to ensure any problems that arise are addressed by DJA management. The Deputy Director is ultimately responsible for Quality Assurance activities necessary for the project.
<b>DJA Project Manager</b>	<ol style="list-style-type: none"> <li>1. Review the Project Charter, approve its use, and communicate its content.</li> <li>2. Identify those factors that can be evaluated and/or measured, and that constitute project success</li> <li>3. Review project plans/phases, at the scheduled times, in sufficient detail to ensure that the project is on schedule and meeting its objectives.</li> <li>4. Review and monitor project progress: meet with Sierra Systems project manager on a weekly basis, to review project progress against planned expenditures and timeframes; specifically: <ul style="list-style-type: none"> <li>• Provide decisions, as needed, representing all users of the new system</li> <li>• Provide approval/acceptance authority and sign-off, as required, for milestone/deliverable completion</li> <li>• Remove obstacles to project progress</li> <li>• Continuously challenge the need for new functions and features</li> <li>• Delegate responsibility for review of detailed project deliverables to the appropriate working committees</li> </ul> </li> <li>5. Ensure effective communication of the project objectives, Project Charter and the project vision to all interested.</li> <li>6. Support the assignment of appropriate resources from the affected divisions, departments and other user areas.</li> <li>7. Ensure commitment of all project participants (users and project team members)</li> <li>8. Escalate major issues and report status to the project sponsors</li> <li>9. Provide the day to day management of the E-Filing Project Contract.</li> </ol>
<b>Sierra Systems Project Director</b>	It is Sierra Systems' policy to assign a partner to every project to ensure it receives the full support of the resources available within Sierra Systems, and to ensure any problems that arise are addressed by Sierra Systems management. The Project Director is responsible for Quality Assurance activities necessary for the project.
<b>Sierra Systems Project Manager</b>	<ol style="list-style-type: none"> <li>1. Serves as member of the project team</li> <li>2. Manages the project's team resources on a day-to-day basis</li> <li>3. Coordinates responsibilities, accountabilities, and authority with DJA project manager</li> </ol>



**Project Structure  
and Staffing**

Role	Responsibilities
	<ol style="list-style-type: none"> <li>4. Actively Participates in the project</li> <li>5. Approves work products</li> <li>6. Administers issues and change requests</li> <li>7. Performs project management processes (structure, plan, control, assess, report and conclude)</li> <li>8. Develops the Project Plan and Project Charter</li> <li>9. Executes formal reviews (i.e., quality management)</li> <li>10. Tracks action items and budgets</li> </ol>

**3.3.3. Sierra Systems Project Team**

The Sierra Systems project team will define and build the system.

Sierra Systems Project Team	
Name	Role
Les Scott	Business Analyst
Jona Vallarta	Team Lead / Developer
Simone Becker	Developer
Cesar Rodriguez	Technical Architect / Developer
Mike Maddox	Developer
Betty Lai	Developer
Daniel Condreay	Database Administrator
Rocky Morgan	Technical Architect
Adam Smolinski	UI Developer

Role	Responsibilities
<b>Project Team</b>	<ol style="list-style-type: none"> <li>1. Working with client's user and systems teams towards planning and implementing the E-Filing system</li> <li>2. Performing tasks assigned by the Sierra Systems project manager and team lead, as well as bringing issues to the attention of the Sierra Systems Project Manager or Team Lead.</li> </ol>

**3.3.4. Project Steering Committee**

The steering committee's role is to oversee the project and resolve issues that the working committees cannot resolve. The Steering Committee will periodically review (monthly) project goals, objectives, scope and progress, and communication with the rest of the organization.



**Project Structure  
and Staffing**

Project Steering Committee	
Name	Title
Paul Sherfey	KC Superior Court Chief Administrative Officer (Project Sponsor and Committee Chairman)
Barbara Miner	Judicial Administrative Director and Superior Court Clerk (Project Sponsor)
Kevin Kearns	ITS Director
C. Jerry Merritt	Supreme Court Clerk
Jan Michels	WSBA Executive Director
Walter Krueger	Private Bar / WSBA
Dave Ryan	LSJBMC, Director of IT, Office of the Prosecuting Attorney
Mark Weiss	KCBA
Judge Trickey	Superior Court
Tom Clarke	IS Division Director, AOC
Rita Alli	ALA past-President



## **4. APPROACH AND METHODOLOGY**

### **4.1. General Methodology**

Our methodology is the Rational Unified Process (RUP) customized for Sierra Systems. It is designed to provide predictability in project delivery, as well as responsiveness to the needs of the project and the client. We will emphasize definition of the system's business requirements to the level necessary to ensure a complete business and technical design, followed by implementation organized into several iterative steps.

### **4.2. Approach Overview**

Our proposed approach is a collection of best practices encompassing iterative and repeatable processes for our projects. We will address this effort as multiple iterations, revising and adding functionality in each of these iterations. Based on the information provided in the work request, Sierra Systems has identified an approach for the completion of this assignment. We are planning for three iterations.

#### **4.2.1. Iteration 1—Build Thin Client Viewer and Core Functionality**

In this iteration we will initialize the project and setup the environments needed to support the project. This iteration will include development of the Thin Client ECR Web Viewer that will extend King County Intranet based court case document viewing capability to include electronically filed documents (PDF and XML format). Other complex functionality will be developed in iteration one so as to complete a proof of concept within the timeline of this iteration. .

#### **Key Activities**

- Initiate and organize the project
- Develop business requirements
- Complete the technical architecture
- Build the initial functionality
- Conduct testing and corrections for all builds
- Complete the proof of concept

#### **Major Deliverables**

- Project Charter
- Project Plan



## Approach and Methodology

- Communications Plan
- Business Requirements documentation
- Technical Architecture document
- Process documentation (part 1)—Modifying Indexing for E-Filing
- Thin Client Viewer (part 1) Integrating Case Content
- Clerk’s Papers—Combining Multi Formats in Sets
- E-Filing document (part 1)—Creating Website Functionality
- Software Tool Acceptance
- Updated documentation

### 4.2.2. Iteration 2—Enhance Thin Client Viewer and Enrich Core Functionality

During this iteration we will extend the functionality created in Iteration 1 and expand the system to support the full implementation of Internet Access for Public Document Viewing. In this iteration Sierra Systems team will complete the introduction of external standards.

#### Key Activities

- Develop business requirements for part two
- Update business requirements from Iteration 1
- Refine the technical architecture
- Build additional functionality
- Test and correct all builds
- Complete the proof of concept for part two requirements

#### Key Deliverables

- View Filing Status—Online View of Saved Material
- Thin Client Viewer (part 2)—Enabling Case and Document Security
- Log on Functionality
- E-File document (part 2)—Case Initiation
- Sealed and Security Functionality
- E-File document (part 3)—3<sup>rd</sup> Party Direct Submission
- Process documentation (part 2)—Upgrading Index, Docket Scanning
- Updated documentation





### **4.2.3. Iteration 3—Refine Thin Client Viewer and complete all E-Filing Functionality**

During the final iteration Sierra Systems will prepare the Thin Client Viewer for release into production, and complete the remaining functionality required for the release of the Pilot.

#### **Key Activities**

- Develop business requirements for part three
- Update business requirements from Iteration 2
- Refine the technical architecture
- Build additional functionality
- Test and correct all builds
- Complete proof of concept for part three requirements

#### **Key Deliverables**

- User Managed Password Functionality
- Printing Functionality
- Maintenance Functionality
- User Managed Sign Up Functionality
- Training Plan
- Auto Transmit (AOC to OXC)
- Updated documentation

### **4.2.4. Ongoing Technical Support**

Sierra Systems technical staff will be made available to support the system following the release of the Thin Client Viewer and the Release of the E-Filing Solution to Pilot. Support will include bug fixes, consultation and other issues associated with warranty repair.

During the 60 days following the completion of an iteration the existing staff will provide any support needed. During the 6 month warranty period following the end of the project Sierra Systems will assign currently available resources as needed to provide required support.

### 4.3. Project Management

At Sierra Systems, we believe that the most important critical success factor on any project is the quality of the project management. For more than 37 years, we have maintained a strong commitment to serious project management; it is one of the foundations of our company. To support the project management function we have developed Project Management Guidelines that are used directly or indirectly on all of our projects

There are many components to successful project management. We would like to outline a few of these and discuss the types of activities we will undertake in each area.

**Project Planning:** We included a high-level project plan in our proposal. This plan will be continually refined throughout the project. A good plan is achieved by understanding the activities necessary to produce the required deliverables, ensuring the activities are clearly defined, obtaining accurate estimates and taking each activity to an appropriate level of detail. Each activity must be owned by a person, who is responsible for ensuring that it is completed successfully. Project plans are ever-changing, as new information becomes known. By creating and maintaining a comprehensive project plan, both DJA and Sierra Systems will have a complete and up-to-date understanding as to the status of the project.

**Risk Analysis:** No project is without risk. Successful projects bring in the deliverables as specified, on time, within budget and to your satisfaction. Problems occur when the project schedule has slipped, the budget is exhausted or requirements remain unfulfilled. Risks are factors that reduce the chances of the project being successful. Risk analysis identifies risk factors before they occur, assesses how likely it is they will occur, takes steps to minimize their occurrence and plans the steps to be taken if they do occur.

It is important for the Project Manager to identify the risks in a project and to ensure appropriate risk analysis plans are put in place to react to each risk that presents itself. We understand the risks of this project and have incorporated appropriate safeguards into our plan. Our risk management strategy is contained in the following Risk Management Strategy section.

**Progress Monitoring:** Our normal procedure is to have project team meetings every week. Each member of the team is asked to update the others regarding their progress. Any changes to expected completion dates are used to update the plan. Each team member is encouraged to share information with the rest of the team, so there are no surprises down the road. Other mechanisms also will be put in place to ensure the status of the project is continually kept up-to-date, including such items as time reporting, problem log procedures, change control procedures and informal and formal project reviews.



## Approach and Methodology

**Progress Reporting:** It is important to Sierra Systems that our clients understand the status of their projects. To ensure this, we will have ongoing informal meetings with appropriate project management throughout the project. Initially, Sierra Systems will have weekly project team meetings, and weekly project status reporting. It is anticipated that weekly meetings will continue for the duration of the project.

Project status reports will be provided to the DJA project manager. These reports will detail all pertinent items, including activities completed in the current reporting period, activities planned for the next reporting period, issues or problems requiring resolution, budget and schedule reports, etc.

**Change Control:** The County may change the work within the scope of the contract. Changes will only be made in writing and are valid when signed by the proper county authority.

If any Change Order causes an increase or decrease in the cost of, or the time required for performance of any part of the work, an equitable adjustment in the contract price, the delivery schedule, or both shall be made and the contract modified in writing accordingly. Sierra Systems will have five days from receipt of written change order to respond in writing with a request for any change in price or schedule. The County may require additional supporting documents and cost or Price Analysis to determine the validity of the claim.

**Issue Management:** The collection and efficient management of issues on a project is a key component of project management. As one of the initial activities for this project, Sierra Systems will establish issue management procedures so everyone involved in the project is aware of how to log an issue. All issues will be assigned to a project team member who will be responsible for following through to ensure the issues get resolved. The issue management procedures ensure the status of issues is known, and the resolutions documented.

**Quality Assurance Reviews:** It is Sierra Systems' standard practice to review all deliverables produced by the project team. Reviews and walkthroughs of products including code are a standard part of our projects. Code walkthroughs are scheduled during each build iteration. Sierra Systems will also perform project oversight to insure that the project is on track and that issues are being resolved appropriately. This practice ensures all items delivered will be of the highest possible quality.

## 4.4. Risk Management

In anticipation of this project, Sierra Systems has conducted a thorough risk assessment. The following table describes those risks and our initial analysis of mitigation strategies.

Risk/Impact	Mitigating Action
Implementation of technology that is new to King County may delay the	1. Using RUP will ensure that new technologies or



**Approach and  
Methodology**

Risk/Impact	Mitigating Action
project or require more resources.	components are addressed early in the project. 2. Encourage technical resources to obtain training. 3. Provide guidance and resources for learning new technologies. 4. Work to build a strong joint team.
Visibility of project has the potential to impact project if the project does not meet critical stakeholders' expectations.	1. Extensive involvement and communication to all stakeholders will reduce this risk. 2. Project organization and Communication plan contains activities that will help insure that users are involved.
Integration with highly used production systems may cause production interruptions.	1. A solid deployment and rollout plan will be developed that includes: <ul style="list-style-type: none"> <li>a. Extensive integration testing</li> <li>b. Clear communication to stakeholders</li> <li>c. Tested rollback strategy</li> </ul>
Concurrent changes to applications that will integrate to components of this application may cause delays or rework.	1. Monitor changes to other applications. 2. Provide impact reports as required. 3. Work closely with DJA systems personnel to document requirements and monitor changes.
Limits to communication may result in failure to meet critical stakeholder expectations.	1. Continually work to provide information and communication opportunities between the project team and stakeholders.

**4.5. Communications Strategy**

Effective communication is a critical success factor for the project and will be managed as such. Recipients of project communication include the stakeholders, the broader legal community, and the Project Team. This section describes how the Project Team's progress will be communicated, as well as how, to whom, and in what frequency the project's status will be reported.

Mechanisms employed to conduct effective communication will include a project website, teleconferencing, Internet, email, Sierra Systems LAN, fax, and regular telephone calls. Project Team meetings will be planned, as required, to facilitate progress and status updates of the project.

Success of the project depends to a large degree on the buy-in and ownership by the users of the system. Communicating the progress of the project and keeping end users involved is critical. To this end, the Project Plan includes regular distribution of project status reports to the stakeholders, as well as periodic informative meetings. In addition, the Project Plan includes the involvement of key users.



The following diagram and table summarize the project communication strategy and illustrate the relationship of the overall communication strategy with that of the individual project areas.

**Approach and Methodology**

**Project Communications Strategy**

Stakeholder	Type of Communication	Method of Communication	Frequency	Initiator
Steering Committee	Summarized project status update	Presentation on project status; Q&A	As required by DJA	DJA Project Manager
Project Sponsors	Project status	Written status report and verbal update	Weekly	DJA Project Manager
	Issues and decisions	Written and verbal	As required	DJA Project Manager
DJA Project Manager	Project status	Written status report and verbal update	Weekly	Sierra Systems Project Manager
	Issues and decisions	Written and verbal	When required	Project Managers
Users & Stakeholders	Project status updates	Written status report and verbal update passed on by DJA Project Manager	As required by DJA	DJA Project Manager
Project Team	Status meetings	Written status report and discussion	Weekly	Sierra Systems Project Manager
	Meeting minutes	Email	Weekly	Project Lead
	Questions & information requests	Email (copy to both project managers)	When required	Project Team

**4.6. Quality Management**

Providing a high quality product is critical to the success of this project and a standard practice for Sierra Systems. Sierra Systems performs project oversight to review project activities, progress, and deliverables to insure that issues and concerns are identified early and resolved before they have reached a critical level. Sierra Systems has assigned the managing partner for this project to perform the project oversight role.

Code reviews and walkthroughs will be conducted during the build phase of each iteration. There may be multiple walkthroughs to ensure that the quality, development standards, and functionality are met.



**Project Tasks and  
Deliverables**

## 5. PROJECT TASKS AND DELIVERABLES

### 5.1. Timeline

The timeline for the project is displayed in the table below.

Phase/Iteration	Start	End
Iteration 1	July 2003	February 2004
Iteration 2	December 2003	May 2004
Iteration 3	April 2004	August 2004
ECR Web Viewer	April 2004	August 2004
Pilot	June 2004	August 2004
Warranty	September 2004	February 2005

### 5.2. Project Deliverables

Provided below are the key deliverables required for this project. They represent the completion of major activities and production of software or project documents.

Event
<b>Iteration 1 (I1)</b>
Hardware
Additional Software/Tools
Communications Plan
Project Charter
Project Plan
Business Requirements Doc
Technical Architecture Doc
Process Docs (pt 1) - Modifying Workflow for Electronic Doc
Software Tool Acceptance
Proof of Concept Software
Thin Client Viewer (pt 1) - Integrating Case Content
User Acceptance of Updated Documentation
Clerk's Papers - Combining Multi Document Formats in Sets
E-File Doc (pt 1) - Creating Website Functionality
User Signoff



–	Event
<b>Iteration 2 (I2)</b>	
–	View Filing Status - Building Online View of Saved Material
–	Thin Client Viewer (pt 2) - Enabling Case and Document Security
–	Log On Functionality
–	"Sealed" and Security Functionality
–	E-File Doc (pt 2) - DIS Shopping Cart Ecommerce
–	User Acceptance of Updated Documentation
–	E-File Doc (pt 3) - 3rd Party Direct Submission
–	Process Docs (pt 2) - Upgrading Indexing, Docketing, Scanning
–	User Signoff
<b>Iteration 3 (I3)</b>	
–	Training Plan
–	Conduct Training
–	User Managed Password Functionality
–	User Acceptance of Updated Documentation
–	Printing Functionality
–	Maintenance Functionality
–	User Managed Sign Up Functionality
–	Auto Transmit (AOC to OXCI)
–	User Signoff
<b>PILOT</b>	
–	Thin Client Viewer Released
–	E-Filing Training
–	E-Filing Pilot
–	E-Filing Production
–	
<b>WARRANTY</b>	
–	Production Support – 6 Months

## Project Tasks and Deliverables

## 5.3. Deliverables – Acceptance Testing Criteria

### 5.3.1. Comment and Acceptance

Each deliverable and system component will be reviewed/tested for acceptance as the deliverable is presented or the installation of that component is completed. Sierra



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Systems will notify King County Washington in writing that the applicable system component/deliverable is ready for Acceptance testing. King County Washington will have five (5) business days in which to initiate the applicable Acceptance review/test for such component, if DJA has been adequately trained and the County's Project Managers and Sierra Systems' Project Manager agree that all criteria needed for review/testing are complete.

King County Washington will have ten (10) business days in which to complete the Acceptance review/test for that component and return notification of success or failure to Sierra Systems. When a review/test is completed successfully, King County Washington's Project Manager will sign and date the Acceptance Criteria form and return it to Sierra Systems. In the event that a review/test is not successful, DJA will complete a notice of Acceptance Test Issues ("Notice") and deliver such notice to Sierra Systems. The Notice shall identify each and every issue/failure of the review/test for that component. Sierra Systems will then remedy the condition and notify King County Washington of the availability of the system deliverable/component for re-review/test or evaluation in the next iteration, thereupon the Acceptance review/test cycle described above will start again.

### **5.3.2. Acceptance Test Criteria**

#### **5.3.2.1. 1 Project Charter**

*Description* These measurements will validate that the Project Charter includes all required elements as documented in the Sierra proposal.

*Objective* The Project Charter is complete and defines the agreement about the project between King County DJA and Sierra Systems.

*Measurements* The Project Charter includes the following:

- Why the project is being conducted
- What results it will deliver
- How, through whom, and over what timeframe those results will be delivered

*Personnel* DJA Project Team and Sierra Systems Project Team

#### **5.3.2.2. 2 Project Plan**

*Description* These measurements will validate that the Project Plan includes all required elements as documented in the RFP and Sierra proposal.

*Objective* The Project Plan is complete and can be used as the basis for managing the E-Filing Project.





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*Measurements* The Project Plan includes the following:

- Confirmation of the project scope
- List of project phases/iterations, tasks, descriptions, start/end dates, contingencies, milestones, resources, deliverables, and budgeted costs
- Estimate of hours and project team titles of personnel to complete each of the tasks identified
- Division of labor between Sierra Systems and King County DJA resources

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.3. 3 Communications Plan**

*Description* These measurements will validate that the Communications Plan includes all required elements as documented in the RFP and Sierra Systems proposal.

*Objective* The Communications Plan is complete and can be used as the basis for managing all communication with DJA on issues relating to ECR and the contract.

*Measurements* The Communications Plan contains the following:

- Description of how the project team's progress will be communicated
- Description of how, to whom, and in what frequency the project's status will be reported
- Identification of organizational communication requirements
- Definition of communication needs
- Assignment of responsibility for communications within the project team, including clearly articulated roles and responsibilities
- Comprehensive communication roll-out strategy (execution of communication plan, Communication Coordinator)
- Identification of the following roles and responsibilities for communication (Project Manager, Project Team, Management Representatives/Business Sponsors, Project Steering Committee)

*Personnel* DJA Project Team and Sierra Systems Project Team



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#### **5.3.2.4. 4 Business Requirements Document**

- Description* These measurements will validate that the Business Requirements document includes all required elements, as documented in the RFP and Sierra proposal.
- Objective* The Business Requirements Document is complete and specifies what the Software will do. It can be utilized as a reference for subsequent tasks (e.g., design, user testing, and policy and procedures documentation efforts that follow).
- Measurements* Document lists the proposed solution in terms of core business features/functions.
- Document will describe the requirements (derived from the RFP and this SOW), categorized by system feature.
- Document includes Business Design specifying the business functionality being implemented, together with the user interface(s) required to implement.
- Document describes how the software will work from a business perspective.
- Document describes user interface (UI) styles and conventions in the form of screen mock-ups. This will include assessment for usability features such as ease-of-use, consistency, navigation, and general ADA compliance.
- Document includes user the design of all web pages.
- Personnel* DJA Project Team and Sierra Systems Project Team

#### **5.3.2.5. 5 Technical Architecture Document**

- Description* These measurements will validate that the Technical Architecture document includes all required elements, as documented in the RFP and Sierra Systems proposal.
- Objective* The Technical Architecture document is complete and can be used as the basis for building the E-Filing System.
- Measurements* Document identifies the current/future state technical architecture in terms of hardware/network, software, and database components.
- Document describes:



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- Envisioned technical solution, design approach, and how the architecture supports future phases (scalability)
- Opportunity for component re-use from existing/past projects
- Opportunity for component build that will be developed for DJA's solution
- Opportunity for component purchase that will complement DJA's solution
- Key integration points among various components (including Core ECR and new system components)

Document includes System Design, describing the detailed envisioned technical architecture, and specifies interactions among the various hardware/network, software, and database components to be implemented.

Document describes detailed hardware and software architecture to be in place to support the E-Filing project, class diagrams and component model, deployment diagram (integration points), sequence diagrams, and database design (transactional updates).

Documentation includes detailed System Documentation delivered on CD in a form suitable for reproduction by computer and/or photocopy equipment, and consists of complete program maintenance documentation, including flow charts, schematics, annotations and database design which comprise the preceding detailed design specifications, and all other material necessary to allow a reasonably skilled third party programmer or analyst to maintain or enhance the Product without the help of any other person or reference to any other material.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.6. 6 Readiness For First Iteration Acceptance Testing**

*Description* These measurements will verify that the First Iteration meets the entrance criteria for formal acceptance testing.

*Objective* Sierra has demonstrated the First Iteration features to King County and the County's Project Manager and Sierra Systems' Project Manager agree that all criteria needed for testing are complete.

*Measurements* Acceptance Criteria 1 – 5 have been accepted by King County.



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Sierra Systems has presented King County with updated Business Requirements and Technical Architecture documents for review. King County concurs that the documents have been updated to reflect any refinements since formal acceptance of those documents.

Sierra Systems has completed System Testing for the First Iteration features and has documented the results.

Sierra Systems has presented King County with First Iteration System Test Results for review. Based on the System Test Results presented, King County concurs that the System Test Plan was executed and the expected results were achieved.

The First Iteration features have been installed successfully in the Test Environment. Test Environment databases are ready for King County use.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.7. 7 Process Documents (Part 1) – Modifying Workflow For Electronic Documents**

*Description* These measurements will verify that the system provides modified workflows for electronic documents.

*Objective* The system performs all of the functions outlined in the *Process Documents (Part 1)—Modifying Workflow for Electronic Documents* section of the Statement of Work.

*Measurements* All items in the *Process Documents (Part 1)—Modifying Workflow for Electronic Documents* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.8. 8 Thin Client Viewer (Part 1) – Integrating Case Contents**

*Description* These measurements will verify that the system provides a New Thin Client Viewer that is integrated with the current case contents screen.

*Objective* The system performs all of the functions outlined in the *Thin Client Viewer (Part 1)—Integrating Case Contents* section of the Statement of Work.



*Measurements* All items in the *Thin Client Viewer (Part 1)—Integrating Case Contents* section of the Statement of Work have been reviewed and accepted by King County staff.

King County accepts Spicer ViewCafé 3.1 as the Thin Client viewing solution included with the E-Filing Project.

*Personnel* DJA Project Team and Sierra Systems Project Team

### **5.3.2.9. 9 Clerk's Papers – Combining Multi Document Formats In Sets**

*Description* These measurements will verify that the system provides that combines multiple document formats in clerk's papers sets.

*Objective* The system performs all of the functions outlined in the *Clerk's Papers – Combining Multi Document Formats in Set*" section of the Statement of Work.

*Measurements* All items in the *Clerk's Papers— Combining Multi Document Formats in Sets* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

### **5.3.2.10. 10 E-File Documents (Part 1) – Creating Web Site Functionality**

*Description* These measurements will verify that the system provides e-filing web site functionality.

*Objective* The system performs all of the functions outlined in the *E-File Documents (Part 1)—Creating Web Site Functionality* section of the Statement of Work.

*Measurements* All items in the *E-File Documents (Part 1) – Creating Web Site Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.

King County accepts Adobe Distiller and Acrobat as the forms tools included with the E-Filing Project.

*Personnel* DJA Project Team and Sierra Systems Project Team

### **5.3.2.11. 11 Source Code – First Iteration**

*Description:* These measurements will validate that the custom source code developed by the Contractor for Iteration 1 has been delivered to King County.



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*Objective* King County has the custom Iteration 1 source code developed by the Contractor in its possession in a form that can be used to restore the system should that be needed.

*Measurements* The custom source code for all accepted system features has been delivered to King County on CD, or in a form suitable for reproduction by computer and/or photocopy equipment, and consists of a full source language statement of the custom program or programs comprising the product.

The custom source code has been verified to be identical to the source code that was executed by the County during Acceptance Testing.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.12. 12 Thin Client Viewer (Part 2) – Enabling Case And Document Security**

*Description* These measurements will verify that the system provides modified case and document security in the Thin Client Viewer.

*Objective* The system performs all of the functions outlined in the *Thin Client Viewer (Part 2—Enabling Case and Document Security* section of the Statement of Work.

*Measurements* All items in the *Thin Client Viewer (Part 2) – Enabling Case and Document Security* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.13. 13 Source Code – Thin Client Viewer**

*Description* These measurements will validate that the custom source code developed by the Contractor for the Thin Client Viewer has been delivered to King County.

*Objective* King County has the custom Thin Client Viewer source code developed by the Contractor in its possession in a form that can be used to restore the viewer should that be needed.

*Measurements* The custom source code for all accepted system features has been delivered to King County on CD, or in a form suitable for reproduction by computer and/or photocopy equipment, and consists of a full source language statement of the custom program or programs comprising the Product.



The custom source code has been verified to be identical to the source code that was executed by the County during Acceptance Testing.

*Personnel* DJA Project Team and Sierra Systems Project Team

#### **5.3.2.14. 14 General System Requirements – Thin Client Viewer -- Readiness For Production**

*Description* These measurements will verify that the Thin Client Viewer meets the related system requirements and is therefore ready for deployment into production.

*Objective* The system performs all of the Thin Client Viewer-related functions outlined in the *First Iteration – General System Requirements*” and *“Second Iteration – General System Requirements* sections of the Statement of Work.

*Measurements* Acceptance Criteria 8 and 12 have been accepted by King County.

Training plans and materials for users of the Thin Client Web Viewer, including on-line help and tutorials, has been provided. Current users of the Daeja viewer have been notified and trained as needed on the new Thin Client Web Viewer.

The Thin Client Viewer has been installed successfully in the Production Environment.

All items in the *First Iteration – General System Requirements*” and *“Second Iteration—General System Requirements* sections of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

#### **5.3.2.15. 15 Readiness For Second Iteration Acceptance Testing**

*Description* These measurements will verify that the Second Iteration meets the entrance criteria for formal acceptance testing.

*Objective* Sierra has demonstrated the Second Iteration features to King County, the County's Project Manager and Sierra Systems’ Project Manager agree that all criteria needed for testing are complete.

*Measurements* Sierra Systems has presented King County with updated Business Requirements and Technical Architecture documents for review. King



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County concurs that the documents have been updated to reflect any refinements during the Iteration 2.

Sierra Systems has completed System Testing for Iteration 2 features and has documented the results.

Sierra Systems has presented King County with Iteration 2 System Test Results for review. Based on the System Test Results presented, King County concurs that the System Test Plan was executed and the expected results were achieved.

The Iteration 2 features have been installed successfully in the Test Environment. Test Environment databases are ready for King County use.

**5.3.2.16. 16 View Filing Status – Building Online View Of Saved Materials**

*Description* These measurements will verify that the system provides viewing of filing status via an online view of saved materials.

*Objective* The system performs all of the functions outlined in the *View Filing Status—Building Online View of Saved Materials* section of the Statement of Work.

*Measurements* All items in the *View Filing Status—Building Online View of Saved Materials* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.17. 17 Log On Functionality**

*Description* These measurements will verify that the system provides log on functionality.

*Objective* The system performs all of the functions outlined in the *Log On Functionality* section of the Statement of Work.

*Measurements* All items in the *Log On Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team





### 5.3.2.18. 18 E-File Documents (Part 2) – E-Commerce Integration

- Description* These measurements will verify that the system integrates with King County’s E-Commerce functionality.
- Objective* The system performs all of the functions outlined in the *E-File Documents (Part 2) – E-Commerce Integration* section of the Statement of Work.
- Measurements* All items in the *E-File Documents (Part 2) – E-Commerce Integration* section of the Statement of Work have been reviewed and accepted by King County staff.
- Personnel* DJA Project Team and Sierra Systems Project Team

### 5.3.2.19. 19 “Sealed” And Security Functionality

- Description:* These measurements will verify that the system provides *sealed* and security functionality.
- Objective* The system performs all of the functions outlined in the *Sealed and Security Functionality* section of the Statement of Work.
- Measurements* All items in the *Sealed and Security Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.
- Personnel* DJA Project Team and Sierra Systems Project Team

### 5.3.2.20. 20 E-File Document (Part 3) – 3<sup>rd</sup> Party Direct Submission

- Description* These measurements will verify that the system provides functionality to accept third party direct submission of electronic filings.
- Objective* The system performs all of the functions outlined in the *E-File Document (Part 3)—3<sup>rd</sup> Party Direct Submission* section of the Statement of Work.
- Measurements* All items in the *E-File Document (Part 3) – 3<sup>rd</sup> Party Direct Submission* section of the Statement of Work have been reviewed and accepted by King County staff.
- Personnel* DJA Project Team and Sierra Systems Project Team



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**5.3.2.21. 21 Process Documents (Part 2) – Upgrading Indexing, Docketing, Scanning**

*Description* These measurements will verify that the system provides upgraded indexing, docketing, and scanning functionality for processing of E-filed documents.

*Objective* The system performs all of the functions outlined in the *Process Documents (Part 2)—Upgrading Indexing, Docketing, Scanning* section of the Statement of Work.

*Measurements* All items in the *Process Documents (Part 2)—Upgrading Indexing, Docketing, Scanning* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.22. 22 Source Code – Second Iteration**

*Description:* These measurements will validate that the custom source code developed by the Contractor for the Iteration 2 has been delivered to King County.

*Objective* King County has the custom Iteration 2 source code developed by the Contractor in its possession in a form that can be used to restore the system should that be needed.

*Measurements* The custom source code for all accepted system features has been delivered to King County on a CD, or in a form suitable for reproduction by computer and/or photocopy equipment, and consists of a full source language statement of the custom program or programs comprising the product.

The custom source code has been verified to be identical to the source code that was executed by the County during Acceptance Testing.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.23. 23 Training Plan**

*Description* These measurements will validate that the Training Plan includes all required elements as documented in the RFP and Sierra Systems proposal.

*Objective* The Training Plan is complete and can be used as the basis for training of DJA technical and operational staff.



*Measurements* Document includes the plan for needed training for DJA's technical and operations staff that will support Core ECR and related systems.

Document indicates all training to be provided by Sierra, as distinguished from training Sierra does not expect to provide directly. For the latter, the plan indicates how the training is to be provided.

Document includes detailed Training Approach – including train the trainer.

Document includes Detailed Technical Support Training Guide, detailing the maintenance procedures which DJA technical staff may reasonably expect to perform in providing operational support an maintaining the full production system, including but not limited to the following:

- Routine maintenance activities, including recommended backup procedures
- System expertise required
- Training required for DJA technical staff, including information regarding courses required or recommended, pricing of such courses and locations where such courses are offered.

Document includes Detailed Functional User Training Guide.

Training materials are evaluated by DJA to be appropriate for their intended audience.

Training materials are evaluated by DJA to include the appropriate level of detail for the intended audience.

*Personnel* DJA Project Team and Sierra Systems Project Team

#### **5.3.2.24. 24 User Managed Password Functionality**

*Description* These measurements will verify that the system has user managed password functionality.

*Objective* The system performs all of the functions outlined in the *User Managed Password Functionality* section of the Statement of Work.

*Measurements* All items in the *User Managed Password Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team



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**5.3.2.25. 25 Training Delivery**

- Description* This verifies that all required training has been provided.
- Objective* DJA technical and operational staff are adequately trained in the new features of ECR added for E-Filing.
- Measurements* All training agreed to in the approved Training Plan has been provided.
- Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.26. 26 Source Code – Pilot**

- Description* These measurements will validate that the custom source code developed by the Contractor for the Pilot has been delivered to King County.
- Objective* King County has the Pilot source code developed by the Contractor in its possession in a form that can be used to restore the system should that be needed.
- Measurements* The custom source code for all accepted system features has been delivered to King County on a CD, or in a form suitable for reproduction by computer and/or photocopy equipment, and consists of a full source language statement of the custom program or programs comprising the product.
- The custom source code has been verified to be identical to the source code that was executed by the County during Acceptance Testing.
- Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.27. 27 General System Requirements – Readiness For E-Filing Pilot**

- Description* These measurements will verify that the system meets the general system requirements and is therefore ready for the start of the E-Filing Pilot.
- Objective* The system performs all of the functions outlined in the *First Iteration—General System Requirements*, *Second Iteration—General System Requirements*”, and *User Managed Password Functionality* sections of the Statement of Work.
- Measurements* Acceptance Criteria 7 – 10, 12, 16 – 21, and 23 – 26 have been accepted by King County.
- Iteration 1, Iteration 2, and User Managed Password Functionality features have been installed successfully in the Production Environment.



All items in the Iteration 1—General System Requirements, *Iteration 2—General System Requirements*, and *User Managed Password Functionality* sections of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

### **5.3.2.28. 28 Readiness For Third Iteration Acceptance Testing**

*Description* These measurements will verify that Iteration 3 meets the entrance criteria for formal acceptance testing.

*Objective* Sierra Systems has demonstrated Iteration 3 features to King County, the County's Project Manager and Sierra Systems' Project Manager agree that all criteria needed for testing are complete.

*Measurements* Sierra Systems has presented King County with updated Business Requirements and Technical Architecture documents for review. King County concurs that the documents have been updated to reflect any refinements during the Iteration 3.

Sierra Systems has completed System Testing for Iteration 3 features and has documented the results.

Sierra Systems has presented King County with Iteration 3 System Test Results for review. Based on the System Test Results presented, King County concurs that the System Test Plan was executed and the expected results were achieved.

Iteration 3 features have been installed successfully in the Test Environment. Test Environment databases are ready for King County use.

### **5.3.2.29. 29 Printing Functionality**

*Description* These measurements will verify that the system provides functionality to print e-filed documents.

*Objective* The system performs all of the functions outlined in the *Printing Functionality* section of the Statement of Work.

*Measurements* All items in the *Printing Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

**Project Tasks and  
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### 5.3.2.30. 30 Maintenance Functionality

*Description* These measurements will verify that the system provides maintenance functionality.

*Objective* The system performs all of the functions outlined in the *Maintenance Functionality* section of the Statement of Work.

*Measurements* All items in the *Maintenance Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

### 5.3.2.31. 31 User Managed Sign Up Functionality

*Description:* These measurements will verify that the system provides user managed sign up functionality.

*Objective* The system performs all of the functions outlined in the *User Managed Sign Up Functionality* section of the Statement of Work.

*Measurements* All items in the *User Managed Sign Up Functionality* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

### 5.3.2.32. 32 Auto Transmit To AOC

*Description* These measurements will verify that the system provides automated transmission of XML data to AOC systems.

*Objective* The system performs all of the functions outlined in the *Auto Transmit to AOC* section of the Statement of Work.

*Measurements* All items in the *Auto Transmit to AOC* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

### 5.3.2.33. 33 Source Code – Third Iteration

*Description* These measurements will validate that the custom source code developed by the Contractor has been delivered to King County.



*Objective* King County has the custom source code developed by the Contractor in its possession in a form that can be used to restore the system should that be needed.

*Measurements* The custom source code for all accepted system features has been delivered to King County on a CD, or in a form suitable for reproduction by computer and/or photocopy equipment, and consists of a full source language statement of the custom program or programs comprising the product.

The custom source code has been verified to be identical to the source code that was executed by the County during Acceptance Testing.

*Personnel* DJA Project Team and Sierra Systems Project Team

### **5.3.2.34. 34 Completion Of E-Filing Pilot**

*Description* These measurements will verify that the Work associated with the E-Filing Pilot is complete.

*Objective* The E-Filing Pilot has demonstrated that the functionality implemented for the Pilot is fully operational during and outside of normal business hours with no significant disruptions.

*Measurements* The E-Filing Pilot has operated for 60 business days.

Pilot participants have the ability to submit electronic filings 24 x 7.

Pilot participants can successfully electronically file the all document and case types, except for those explicitly excluded from the Pilot. Any document and case types excluded will be included in the approved Business Requirements document.

Pilot participants receive notification of the receipt or rejection of their filing, with the opportunity to correct the filing if it is rejected.

Pilot participants require no specialized software or hardware beyond an Internet connection and either IE or Netscape, along with approved word processing software. The minimum versions of IE and Netscape required for filers will be included in the approved Technical Architecture document.

Pilot participants require no specialized “help” with E-Filing beyond the instructions provided on the website.

Documents successfully received for filing are integrated into the upgraded Core ECR system functionality.

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Documents successfully received for filing are able to be viewed using the Thin Client Viewer.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.35. 35 General System Requirements – Readiness For Production**

*Description* These measurements will verify that the system meets the general system requirements and is therefore ready for deployment into production.

*Objective* The system performs all of the functions outlined in the *Third Iteration – General System Requirements* section of the Statement of Work.

*Measurements* Acceptance Criteria 29 – 34 have been accepted by King County.

Iteration 3 features have been installed successfully in the Production Environment.

All items in the *Iteration 3—General System Requirements* section of the Statement of Work have been reviewed and accepted by King County staff.

*Personnel* DJA Project Team and Sierra Systems Project Team

**5.3.2.36. 36 Final Acceptance**

*Description* This verifies that all the Software and hardware has been accepted.

*Objective* The software and hardware will be fully operational during and outside of normal business hours with no significant disruptions for a period of six months.

*Measurements* Final Acceptance will be deemed to have occurred if there are no significant disruptions with system operations for a period of six months beginning with Readiness for Production. If there are significant disruptions with system operations at any time within six months after Readiness for Production, after the disruption is corrected a new six month final acceptance period will begin.

*Personnel* DJA Project Team and Sierra Systems Project Team





### 5.3.3. Functional Requirement Approval

The acceptance criteria include review and approval of functional requirements. Each section of the functional requirements is included in one of the acceptance testing criteria listed in the previous section.

DJA and Sierra Systems will review each component of Functional Requirements for approval.

## 6. ASSUMPTIONS

### Assumptions

Following are Sierra Systems' key assumptions, on which the scope, effort and schedule have been based.

1. Sierra Systems has developed the plan, approach, software and cost based on our understanding of DJA requirements and subsequent activities necessary to produce the desired deliverables. If requirements change, the change control process will be initiated for changes to scope and cost.
2. The DJA approved change control process established during project initiation will manage additions or changes to the project scope, to ensure active management of the project budget for maximum value to DJA and Sierra Systems. No additional functionality will be added to the deliverables without an approved change request.
3. Schedule delays or cost impact arising from dependencies on other systems and interfaces that have not been fully defined, or are work in progress, will be dealt with as change control items.
4. DJA will devote the appropriate resources to the project to ensure success. It is assumed that the assigned resources will be available as required. It is expected that key individuals identified will have experience in the day-to-day operations and will work closely with the Sierra Systems project team to resolve design, development, and implementation issues as required. The main purpose for this interaction is to provide a quick and consistent response to issues that must be resolved in a timely manner.
5. DJA resources will participate with Sierra Systems' consultants in a hands-on manner in completing all tasks in the proposed work plan as well as revisions. Sierra Systems has an expectation that resource participation will occur by attending code reviews and during acceptance testing and the pilot. The specific resources for acceptance testing and the pilot will be determined during the business requirements phase with assistance from DJA.
6. DJA technical staff will provide the knowledge and assistance for the current system specifically for cases where interfaces and integration are necessary.
7. DJA agrees to provide any necessary dedicated business and technical specialists and developers, for interfaces and system integration requirements for the project King County works to ensure the appropriate agency resources are available to work with the Project Team in a timely fashion.
8. A resource from DJA will participate and assist with the criteria and sign-off process for the Database design.
9. On an ongoing basis, DJA will make available to Sierra Systems their DJA technical and project staff who require a full knowledge transfer regarding all aspects of the systems, equipment, software, etc. being installed.,
10. Sierra Systems end-user training will be in the form of "train the trainer".



## Assumptions

11. DJA will commit to meeting the approved project schedule delivery dates for King DJA items and activities, including making available hardware and software, access to expertise and knowledge, and sign-off of deliverables, so the project plan and schedule will not be adversely impacted.
12. DJA will build user and acceptance testing scripts (we have included time for assisting DJA in the development of these scripts). DJA and agency staff will test each release using the test scripts.
13. A separate test and development environment will be provided by DJA to ensure that production is not negatively impacted.
14. Workspace will be made available for Sierra Systems' staff at an appropriate DJA site.
15. DJA will permit Sierra Systems access to all relevant project-related documentation and information.
16. There are interface performance factors that are out of the control of project staff. System performance decisions will be made mutually with DJA to allow appropriate response times.
17. The external systems and interfaces that are a work in progress at King County, separate from the E-Filing Project have the potential to cause delays or re-works that may impact the E-Filing Project.

In addition to its other obligations under the E-Filing Contract, King County agrees as follows:

Cooperation. King County agrees to cooperate with Contractor and promptly perform King County's responsibilities under the E-Filing Contract.

Site Preparation. King County shall prepare the installation site in accordance with instructions provided by Contractor. King County is responsible for environmental requirements, electrical interconnections, and modifications to facilities for proper installation, in accordance with Contractor's specifications. Any delays caused by delays in preparation of the installation site will correspondingly extend Contractor's delivery and installation deadlines.

Site Maintenance. King County shall maintain the appropriate operating environment for the equipment and Software and all communications equipment, telephone lines, electric lines, cabling, modems, air conditioning and all other equipment and utilities necessary for the equipment and Software to operate properly.

Compliance with Contracts. In the course of its performance under E-Filing Contract, Contractor does not intend to infringe upon any third party's proprietary rights or to access any third party's confidential information, nor does Contractor intend for King County to breach any of its obligations to third parties, including but not limited to any licensing or confidentiality obligations. King County represents and warrants to Contractor that it does not have any contracts or other obligations to third parties, including but not limited to any license agreements or confidentiality obligations, that will be violated in any respect by Contractor's performance under this contract.



## Success Criteria

# 7. SUCCESS CRITERIA

The project will be successful provided that the original objectives of the project are met. For this project this means the following:

- Meeting the timelines for each deliverable as defined in the high-level schedule for each iteration defined in section 5.1
- Producing each deliverable of the project within its assigned iteration
- Fulfilling the requirements defined in the *Functional Requirements* in the Statement of Work.
- Meeting the acceptance criteria defined for this project.

# Appendix A. Revision Log

Revision Date	Description	By Whom
09/19/03	Draft Deliverable	Shayne Boyd
10/21/03	1 <sup>st</sup> Review Edits	Shayne Boyd
11/10/03	2 <sup>nd</sup> Review Edits	Shayne Boyd
11/21/03	Final Edits	Shayne Boyd

Department of Judicial  
Administration, Office of the  
Superior Court Clerk  
Electronic Filing Project

## Revision Log

