

**FISCAL YEARS 2013–2015**

**ARIZONA JUDICIAL BRANCH  
INFORMATION TECHNOLOGY  
STRATEGIC PLAN**



**ARIZONA SUPREME COURT**



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# ARIZONA JUDICIAL BRANCH INFORMATION TECHNOLOGY STRATEGIC PLAN: 2013 2015

## EXECUTIVE SUMMARY



The Arizona Judicial Branch is using technology to reach its goals of connecting with and protecting the community. Having built the basic infrastructure to support information gathering and sharing, the judiciary is now working to provide the public, the media, law enforcement, and the legal community convenient access to appropriate court information, especially on such sensitive topics as criminal case dispositions and domestic violence matters as well as general case information.

Chief Justice Rebecca White Berch provides direction for both the courts' business and technology efforts. Her vision for the Arizona Judicial Branch is embodied in the publication *Justice 20/20: A Vision for the Future of the Arizona Judicial Branch 2010-2015*.

# Justice 20/20

Having built a robust infrastructure and key “back-office” functions, Arizona court automation continues making major improvements through implementation of “second generation” automated systems, continuing the journey to exploit process efficiencies and economies of scale to better serve citizens.

- At the state level, the supporting infrastructure includes the Arizona Judicial Information Network (AJIN), various database and application servers, and the attached PCs with desktop software.
- Back-office functions at the state level include the limited and general jurisdiction case, cash, jury, juvenile and adult probation and other record management systems statewide, email, Internet/Intranet access, and the central data repositories that support public access, statistical reporting, and analysis.
- For larger courts, especially those jurisdictions having their own self-contained tracking systems, back-office functions include continued maintenance, enhancement, and development of local systems, networks, and desktop environments.

Maintaining, operating, and enhancing this infrastructure and back-office functionality remains a priority to allow courts to keep better records, perform case management functions more efficiently and effectively, and promote greater accountability. Some of these back-office applications have reached the end of their useful life and require replacement. A continued focus in this plan is to replace those systems and expand from back office to front office automation while increasing public access to justice-related information.

Arizona courts will continue to improve their business practices, especially ones to better serve the participants in the judicial process, including law enforcement, the legal community, jury members, victims, self-represented litigants, the media, and the public at large. To that end, the *Arizona Judicial Branch Information Technology Strategic Plan: 2013-2015* aligns with the judiciary’s business goals found in the Arizona Judicial publication *Justice 20/20: A Vision of the Future of the Arizona Judicial Branch 2010-2015*, which defines its vision for connecting with and protecting the community.

### **SERVING THE PUBLIC**

Public safety remains a key governing principle that directs automation. Where more complete and timely information is available on criminals, the public is better served. Integration of justice information, especially among criminal justice agencies, supports this goal. The courts continue working for better, closer and more automated interaction with law enforcement, the Department of Corrections, prosecution and defense agencies, as well as social services agencies, integrating with those systems to the extent possible. Criminal justice agencies are able to respond in the best interests of the public when they have ready access to juvenile and adult probation information, orders of protection, arrest information and pending DUI cases. The courts have been building their processes and infrastructure to record this information electronically and

are now focusing, in cooperation with other criminal justice agencies, on sharing information in real-time, especially warrant information.

Being responsive to the public is a key initiative. With enhanced public safety and public service as goals, initiatives include providing for public information access; enhanced “self-service” support for the self-represented, including interactive forms accepted statewide; improved interaction with potential jurors; technological improvements in courtrooms; and an improved ability to interact with the courts remotely. This complements the State of Arizona’s initiative for e-government. The Judicial Branch will continue to use technology to improve its ability to offer service in the e-government arena.

### **IMPROVING EFFICIENCY WITH NEW TECHNOLOGIES**

Improving the efficiency of the Judicial Branch processes is an important goal. Several technologies are being implemented to support it. Electronic document management and electronic filing can help the courts manage records more efficiently. The use of audio and video to record court proceedings is another technology solution that is proving both cost-efficient and effective. Use of video conferencing for remote hearings and appearances saves time and transportation costs, and contributes to public safety. Several rural superior courts are continuing to expand its use to address chronic court reporter and interpreter shortages.

Efforts to address the records management challenges of the court system are maturing. The acquisition of electronic document management systems (EDMS) that include abilities for imaging, electronic filing, document storage and document archiving for long-term preservation is complete at the superior court and appellate court levels. Several of the largest limited jurisdiction courts have also selected and implemented electronic document management systems. The focus continuous to be on providing a centralized EDMS along with procedures and processes for more than 100 smaller limited jurisdiction courts that lack the local resources to manage a standalone system. EDMS forms the vital foundation for accepting electronic documents from the public and legal community (e-filing). Automated systems and processes are maturing to the point where a paper “safety net” may not be as vital as it once appeared to be. Since no paper exists for e-filed documents, minimum technical requirements have been communicated to courts desiring to substitute an electronic record for paper “originals.” Business continuity solutions under construction ensure that multiple copies of electronic court records are stored in geographically diverse locations.

With e-government, integration, electronic documents, and other remote electronic access services comes the need for security and authentication. The Judicial Branch will be stepping up its emphasis on the availability of electronic records as paper becomes less prevalent. As mentioned above, the business continuity critical to preserving the electronic supply chain of justice is being put in place. A statewide approach for electronic authorizations and electronic signatures using a systemic, “simplify and unify” approach is still needed. The interactions with state and local

agencies, their needs, and technological capabilities are being reviewed along with internal branch needs to ensure the appropriate controls are in place for different types of filings.

Maintaining a systemic view continues to be a philosophical foundation that requires adoption of a broader perspective, looking at ways not just to meet an immediate need but also examining and revising business processes for global improvements and solutions. The approach encourages questioning structures, terminology, processes, and procedures, as they exist. It promotes solutions that simplify and bring standardization and uniformity to court interactions statewide. It also complements a heightened awareness of our interdependence – among courts and with other government agencies or justice partners.

### **ENTERPRISE ARCHITECTURE AND STANDARDS**

For the past decade, the direction of technology in the courts has been towards shared resources, standards, and elimination of duplicate efforts and systems. The 2013-2015 Information Technology Strategic Plan continues projects that foster cooperation and leveraging. Leveraging has become institutionalized as a process, yielding a standards-based technology environment. At the recommendation of the Commission on Technology (COT), a statewide committee providing technology oversight, and its subcommittee, the Technical Advisory Council (TAC), the Arizona Judiciary has adopted technical standards for automation statewide so that development can be shared, training leveraged and cooperative projects undertaken. The enterprise architecture includes technical industry standards, protocols, and methodologies, and, where business value can be identified, even products and detailed specifications. Arizona Code of Judicial Administration § 1-505 adopted the architecture. See <http://www.azcourts.gov/cot/EnterpriseArchitectureStandards.aspx> for the details. These detailed standards and specifications provide needed direction to projects conducted at all levels of courts and between courts and justice partners.

### **STANDARDIZING CODES AND PROCESSES**

Automation table code standardization supports statewide uniformity of information recorded in case management systems (CMSs). It is difficult to transfer data to other local and state entities, write standardized reports, and aggregate statewide statistics when every court uses different words, abbreviations, or codes for the same thing. This currently presents a problem in AZTEC courts. Mapping local codes to statewide codes has proven to be very labor intensive with unsatisfactory results. Differences from court to court and bench to bench are being resolved as part of the rollout of the AJACS statewide case management systems. Superior Court Clerks and limited jurisdiction court representatives are well into this standardization effort and have delivered both standard codes and associated terms for use with new case management systems statewide. The COT maintains and governs these standardized codes and terms for all levels of courts through a code standardization subcommittee.

Creation of standardized processing workflows that take into account the size and level of a court is also a COT recommendation. The approach enables more standardized training and less complex automation since fewer unique practices have to be addressed. “Best practices” for courts’ workflow processes are contained within the new case management systems, a direction approved by the Arizona Judicial Council (AJC) several years ago.

### NEW SYSTEMS BECOMING REALITY

The drivers for projects to develop and implement second-generation automated systems include:

- Outdated technologies
- Business process inefficiencies
- High maintenance costs and complexities

In the fast-paced world of technology, it is an extraordinary accomplishment to sustain and support an automation system for 10 to 15 years. Many of the courts’ systems are this old and reaching the end of their life cycles. They must be replaced. A project to replace the over-20-year-old JOLTS system using state-of-the-art technology is nearing completion of development and testing activities.

AZTEC, a statewide case management system (CMS) developed in the late 1980’s and implemented in Arizona courts beginning in the early 1990’s, is also in the process of being replaced. Requests for enhancements to AZTEC are being carefully weighed against the likely return on investment over the short remaining life of the program while development work continues on meeting the requirements of limited jurisdiction courts. Implementation of AJACS in rural general jurisdiction courts is complete and enhancements are underway.

COT and steering committees keep close tabs on the CMS development and implementation efforts as they traverse through critical milestones, to ensure that the finished systems meet the processing needs of a vast majority of courts statewide. Oversight also exists for requested enhancements and new releases of the software. The AiCMS system from AmCad, Inc (now called AJACS) has been installed in all 13 rural superior courts is now being enhanced to meet the unique requirements of the limited jurisdiction courts in the state.

Several of the larger municipal courts and consolidated justice courts in the state not using AZTEC also find themselves with end-of-life CMSs and the need to undertake complex development projects to replace them. Adoption of a statewide limited jurisdiction case management system provides the most economical solution to their technology dilemma. They are being involved in the governance, gap analysis, development, and testing efforts.

Simplifying and making more uniform the financial rules and fund allocation procedures remain an important priority. The complexity of the distribution of funds collected by courts increases the challenge of implementing an off-the-shelf vendor court package and makes the maintenance of existing financial systems costly and resource consuming. The judiciary continues to examine financial procedures and statutory requirements to identify ways in which the financial business of courts could be handled more easily. Realistically, courts will not be able to effect change of all the complexity at once. This will be a long-term effort to reduce complexity while resisting efforts or legislation that might introduce additional complexity into the system.

### **PENALTY ENFORCEMENT PROGRAM**

The automation portion of the Penalty Enforcement Program is the Fines, Fees and Restitution Enforcement Project (FARE). One hundred seventy-one courts in all fifteen counties have now implemented the unified FARE process whereby all citations and payments entered into their AZTEC case management system are automatically passed to a collections agency that will:

- Send a reminder notice before the court date (Phoenix only)
- Set up a Web and interactive phone payment service
- Send out delinquency notices
- Perform skip tracing
- Interact with MVD to suspend drivers licenses and vehicle registration renewals (TTEAP)
- Automate the TIP interface
- Set up, bill, and track payment contracts
- Provide outbound calling for further collections effort after noticing has completed.

FARE has collected over \$265 million to date on outstanding local debts, disbursed to statutory funds at the local, county, and state levels. Of that amount, \$72 million has been collected via electronic media, the Web, and telephone IVR. Over 669,800 TTEAP holds have been placed with just over 354,500 releases, thus far, a release rate of 52.9 percent.

### **FUNDING CHALLENGES**

The judiciary faces many challenges in pursuit of these strategic initiatives. Perennially among the greatest challenges, funding looms even larger in the wake of implementing a new case management system in general jurisdiction courts and undertaking development of systems for case management in limited jurisdiction courts and for electronic case filing statewide. In addition, a more capable data center was recently constructed to support new centralized applications and provide necessary business continuity. Achieving justice integration and statewide electronic access to critical court

information requires coordination of efforts, detailed standards, and funding. This is difficult with funding so limited and dispersed among so many different entities statewide. The problem was compounded over several years when the planned funding for many initiatives was interrupted by multiple reallocations of JCEF (a state-level automation funding source) by the legislature. Courts are working to enhance both local and centralized pools of automation funding to leverage the success of what has already been built and carry the judiciary forward in a consistent way to support its goals of improving public safety and public service. Although funding streams currently in place are projected to enable development, testing, and implementation of the new limited jurisdiction court case and cash management system, any further fund sweeps or dramatic reductions in revenue could jeopardize the completion of the project and/or the on-going support required to maintain this vital statewide automation system.

**TECHNOLOGY PRIORITIES**

The Arizona Judicial Branch’s information technology initiatives support its strategic agenda outlined in *Justice 20/20: A Vision of the Future of the Arizona Judicial Branch 2010-2015*. At its June 2012 strategic planning session, the Commission on Technology reaffirmed the importance of existing strategic projects while introducing some new projects into the mix. Strategic projects were placed in three general tiers of priority, as indicated below:

**Top Tier eFiling**

- Civil eFiling Maricopa/Pima
- Judge Automation
- AJACS- eFiling

**Top Tier Court Automation**

- AJACS-LV/Mesa
- JOLTSaz- Pima
- FARE
- AJACS-AZTEC Replacement
- AJACS- GJ Enhancements

**2<sup>nd</sup> Tier**

- eDocs
- JOLTSaz- Rural
- APETS Integration
- eWarrants
- AzTurboCourt- DR
- AzTurboCourt- Criminal

The *Arizona Judicial Branch’s Information Technology Strategic Plan: 2013-2015* reflects technology planning for all Arizona courts. Typically, State Appellate Courts and the Superior Court in each county, on behalf of their general and limited jurisdiction

courts, prepare or update their information technology strategic plans as the foundation for the statewide planning process. Due to the continuing economic challenges government is facing, the Commission on Technology voted to require formal plan input from rural courts only every other year. Those accomplishments and directions received in the current planning cycle have been incorporated into the statewide technology activities coordinated by the Administrative Office of the Courts. The most recent individual plans or updates received by county appear in Appendix D.

## I. INTRODUCTION

### BACKGROUND

The Arizona Judicial Branch consists of the Supreme Court, the Court of Appeals, the Superior Court, Justice of the Peace Courts, and Municipal Courts. The Supreme Court has administrative supervision over all courts in the state and the authority to make rules governing all procedural matters in any court.

The Arizona Judicial Council (AJC), established in 1990, assists the Supreme Court in developing and implementing policies that will provide central direction for court management, consistency in court operations, and coordination of services within the courts. Under the direction of the Chief Justice, the Administrative Office of the Courts provides the necessary support for the supervision and administration of all courts.

The Commission on Technology (COT), under whose auspices the Judicial Branch Information Technology Strategic Plan is developed, is a committee of the Arizona Judicial Council. The Commission plays both an advisory and a review role with respect to statewide technology policies, standards, and applications. The Information Technology Division of the Administrative Office of the Courts staffs the Commission and its subcommittees, and typically provides the technical resources for statewide technology projects.

Both the AJC and the COT are statewide, multi-disciplinary, governance groups having representation from all levels of the judicial branch, as well as the executive branch, the Bar, academia, local government, the legal community, and the general public.

The Arizona Judicial Branch has turned to technology as one means to meet its goal to provide an independent, accessible, and integrated judicial system in accordance with constitutional mandates. There are many compelling reasons that the court is looking to automation to meet today's demands for information and efficient processing. The following strategic plan maps out the future direction of Arizona's Judiciary in information technology architecture and projects for the three-year period including Fiscal Years 2013 through 2015.

The Arizona Judicial Branch is proud of its accomplishments in information technology over the two decades since statewide efforts towards technology planning and statewide systems and standards began in earnest.

- Most juvenile court-related functions are automated on JOLTS (now being updated as JOLTSaz and integrated with superior court financial management systems).
- All superior courts are automated using the same, centrally supported and managed system, AJACS, apart from the high volume courts in Maricopa and Pima counties. Only a handful of limited jurisdiction courts continue to use

legacy case management systems. Development of enhancements to AJACS to meet limited jurisdiction court requirements is nearing completion.

- Adult probation offices in all 15 counties continue to use the same statewide reporting and statistical data collection system and a second-generation adult probation tracking system. APETS, initially developed and implemented in Maricopa County, is implemented statewide, placing all adult probation information within a single database.
- A training program to support common court “best practices” processes and procedures has been developed and implemented. It addresses the automation training needs of the courts, providing both partial funding for staffing a training function in each county court system and also statewide training programs.
- A centralized repository of all court protective orders is available for query by law enforcement. A similar path is now being pursued for arrest warrants throughout the state.
- Public access to case information for 153 Arizona courts is available via the Internet for lookup of cases by name or case number. A subscription feature also exists for public case information. Plans are being made to enable public access to certain case-related documents online.
- All clerks of the superior court continue digitizing paper filings using electronic document management systems. Several prominent limited jurisdiction courts have implemented standalone electronic document management systems, as well. Because document management is a key enabler for electronic case filing, the AOC has constructed a central document repository for both public access and enhancing courts’ business continuity. More than 20 smaller limited jurisdiction courts are already employing the central solution, enabling their paper documents to be disposed of after quality assurance steps have been taken.

The *Fiscal Year 2012 Accomplishments* section provides a detailed listing of last year’s major information technology accomplishments.

The demands of the public to access court records, information sharing among the courts and other criminal justice agencies, plus the sheer volume and complexity of justice transactions are focusing the Judiciary on modernizing the courts’ use of technology. The court continues addressing technology-hostile court rules, especially in the electronic case-filing arena. In this era of insufficient finances, Court leadership is committed to use technology to enable the improved effectiveness of court business processes and those of the entire criminal justice system.

The Arizona Judicial Branch recognizes its role in the enhancement of the criminal justice system as a whole in the state. While much progress has been made within each criminal justice function to improve operational effectiveness, it is now widely acknowledged that criminal justice agencies must collaborate to bring about much needed systemic improvements. The first project to address the justice integration initiative is the electronic reporting of criminal dispositions to the Department of Public Safety (DPS). Related projects are planned to improve the exchange of accurate data among the various criminal justice functions before submittal to the common criminal

justice history files. Being central to the criminal justice system, the courts play a critical part in the successful accomplishment of local integration initiatives.

Electronic Document Management (EDM), which includes electronic filing, document imaging, and the integration of documents with other applications, has become an important initiative of the chief justice. An EDM project addresses both back- and front-office functions. Without a basic infrastructure made up of document repositories, software to manage them, and sufficient network bandwidth to support document transmissions, courts cannot begin to accept electronic documents from other agencies. Now that the basic infrastructure is in place, along with a systemic analysis to alter existing document handling and filing processes, courts are able to respond to requests to accept electronic filings from the law enforcement, prosecution, and legal communities. Efforts continue to enable process and technology changes that allow judicial officers to access electronic documents from the bench.

New case management system development projects address replacement of two core systems, AZTEC and JOLTS, as they are approaching the end of the automation life cycle. Next-generation systems significantly reduce the level of clerical effort needed for data entry and update functions by enabling automated exchange of data among criminal justice agencies. Rather than placing all functionality within a single enterprise system controlled by the court, the integration model being pursued calls for loosely coupling disparate systems using defined standards for data exchange like GJXML and the NIEM as well as an enterprise service bus (ESB) for transaction-based services.

The 2013-2015 IT Plan continues to support the core functionality of the existing statewide applications. In particular, the AZTEC case management system will be maintained and modified, as required, to provide its remaining user courts with benefits that will exceed the level of effort necessary to maintain it as it approaches the end of its life.

The Arizona Judicial Branch's Information Technology Strategic Plan for Fiscal Years 2013-2015 offers a strategic direction for the information technology resources and activities in the Judiciary. It results from a formal planning process, which began with updates to various IT plans at the county level. These supporting plans are included in Appendix D. Rural courts' plans are now updated only every other year, following a recent decision by the Commission on Technology.

This plan first presents the Judiciary's business strategic initiatives. Those initiatives are defined in Sections III and IV. Then, the IT initiatives supporting these business needs are outlined.

The IT strategic initiatives are:

- Promote a Systemic Thinking Approach to Technological Solutions
- Provide Infrastructure that Facilitates Effective Communication and Integration
- Enhance Security and Disaster Recovery to Protect Court Technology-Related Assets
- Standardize Processes and Solutions to Improve Efficiency and Effectiveness
- Complete and Enhance Second-Generation Statewide Automation Projects
- Improve Data Exchange, Communications, and Public Access
- Digitize the Court Environment
- Provide Administrative Support Functions

Finally, major IT strategic projects are outlined.

The Commission on Technology and its subcommittees provide a strong, active force for directing technology efforts and funding. Its members deserve special thanks for the fine job they are doing in providing leadership in technology to the Arizona Judicial Branch. Members of Commission on Technology and its subcommittees, Court Automation Coordinating Committee, the Technical Advisory Council, the Probation Automation Coordinating Committee and, the e-Court subcommittee are provided below.

**COMMISSION ON TECHNOLOGY- (COT)  
2011-2012 MEMBERSHIP LIST**

<p><b><u>CHAIR</u></b> <b>HON. ANDREW HURWITZ</b> Vice Chief Justice Arizona Supreme Court</p>	
<p><b>KENT BATTY</b> Court Administrator Superior Court in Pima County</p>	<p><b>BENNETT EVAN COOPER</b> Partner Steptoe &amp; Johnson</p>
<p><b>MICHAEL BAUMSTARK</b> Deputy Administrative Director Arizona Supreme Court, AOC</p>	<p><b>MARCUS REINKENSMAYER</b> Court Administrator Superior Court in Maricopa County</p>
<p><b>RANDOLPH A. BARTLETT</b> Judge Superior Court in Mohave County</p>	<p><b>JOHN REZZO</b> Information Technology Director Snell &amp; Wilmer L.L.P.</p>
<p><b>REBECCA LUND</b> Research Analyst County Supervisors' Association of Arizona</p>	<p><b>LAWRENCE WINTHROP</b> Chief Judge Court of Appeals, Division I</p>
<p><b>MICHAEL JEANES</b> Clerk of the Court Superior Court in Maricopa County</p>	<p><b>DELCY SCULL</b> Director Cochise County Juvenile Court Services</p>
<p><b>DENNIS KAVANAUGH</b> Councilmember Office of City Council, Mesa</p>	<p><b>ROXANNE K. SONG ONG</b> Chief Presiding Judge City of Phoenix Municipal Court</p>
<p><b>GARY KRCMARIK</b> Court Administrator Superior Court in Coconino County</p>	<p><b>GARYE VASQUEZ</b> Judge Court of Appeals, Division II</p>
<p><b>SHERI NEWMAN</b> Clerk of the Court La Paz Superior Court</p>	<p><b><u>STAFF</u></b> <b>STEWART BRUNER</b> Strategic Planning Manager Arizona Supreme Court, AOC</p>

**TECHNICAL ADVISORY COUNCIL- (TAC)  
2011-2012 MEMBERSHIP LIST**

<p><b><u>CHAIR</u></b> <b>KARL HECKART</b> Chief Information Officer, ITD Director Arizona Supreme Court, AOC</p>	<p><b>THOMAS WATSON</b> Technology Operations Director Superior Court in Pinal County</p>
<p><b>MOHYEDDIN ABDULAZIZ</b> Chief Information Officer Court of Appeals</p>	<p><b>CARY MEISTER</b> Information Technology Manager Superior Court of Yuma County</p>
<p><b>STEVE BALLANCE</b> IT Director Superior Court in Pima County</p>	<p><b>JARED NISHIMOTO</b> Court IS Coordinator Superior Court in Coconino County</p>
<p><b>RON BITTERLI</b> Director of Information Technology Maricopa Superior Clerk of the Court</p>	<p><b>ELOISE PRICE</b> Director Superior Court in Gila County</p>
<p><b>JENNIFER GILBERTSON</b> IS Officer City of Phoenix Municipal Court</p>	<p><b>RICK RAGER</b> Automation IT Manager City of Tempe Municipal Court</p>
<p><b>RANDY KENNEDY</b> Court Automation Manager City of Scottsdale Municipal Court</p>	<p><b>KYLE RIMEL</b> Automation Systems Manager Superior Court in Mohave County</p>
<p><b>JAMES TOWNER</b> IT Director Court of Appeals, Div I</p>	<p><b>JOHN BARRETT</b> Chief Information Officer Superior Court in Maricopa County</p>
<p><b>VALERIE BURNS</b> Technology Program Manager Superior Court in Yavapai County</p>	<p><b><u>STAFF</u></b> <b>STEWART BRUNER</b> Strategic Planning Manager Arizona Supreme Court, AOC</p>

**COURT AUTOMATION COORDINATING COMMITTEE- (CACC)  
2011-2012 MEMBERSHIP LIST**

<p><b><u>CHAIR</u></b> <b>MICHAEL POLLARD</b> Judge City of Tucson Municipal Court</p>	
<p><b>KIP ANDERSON</b> Court Administrator Superior Court of Mohave County</p>	<p><b>PATRICK MCGRATH</b> Automation Services Manager Arizona Supreme Court</p>
<p><b>CATHY CLARICH</b> Court Administrator City of Glendale Municipal Court</p>	<p><b>RICHARD MCHATTIE</b> Deputy Director Maricopa County Clerk of the Superior Court</p>
<p><b>MICHAEL MALONE</b> Limited Jurisdiction Court Administrator Superior Court in Pinal County</p>	<p><b>PATRICIA NOLAND</b> Clerk of Court Superior Court in Pima County</p>
<p><b>JULIE DYBAS</b> Deputy Court Administrator City of Scottsdale Municipal Court</p>	<p><b>RONA NEWTON</b> Director of IT and Research Pima County Juvenile Court Center</p>
<p><b>MARY HAWKINS</b> Court Administrator Superior Court in Maricopa County</p>	<p><b>RICK RAGER</b> IT Manager City of Tempe Municipal Court</p>
<p><b>DONALD JACOBSON</b> Court Administrator City of Flagstaff Municipal Court</p>	<p><b>PAUL THOMAS</b> Court Administrator City of Mesa Municipal Court</p>
<p><b>PHILLIP KNOX</b> General Jurisdiction Court Administrator Superior Court in Maricopa County</p>	<p><b><u>STAFF</u></b> <b>STEWART BRUNER</b> Strategic Planning Manager Arizona Supreme Court, AOC</p>

**PROBATION AUTOMATION COORDINATING COMMITTEE- (PACC)  
2011-2012 MEMBERSHIP LIST**

<p><b><u>CHAIR</u></b> <b>RONA NEWTON</b> Director of IT and Research Pima County Juvenile Court Center</p>	
<p><b>BARBARA BRODERICK</b> Chief Juvenile Probation Officer Maricopa County Adult Probation</p>	<p><b>DELCY G. SCULL</b> Director Cochise County Juvenile Court Services</p>
<p><b>JOHN DYESS</b> Chief Probation Officer La Paz County</p>	<p><b>AMY STUART</b> Information &amp; Research Manager Arizona Supreme Court</p>
<p><b>DAVID SANDERS</b> Chief Probation Officer Superior Court of Pima County</p>	<p><b>PAULA TAYLOR</b> APETS Business Manager Arizona Supreme Court</p>
<p><b>RIK SCHMIDT</b> Director of Juvenile Court Services Pima County Juvenile Court</p>	<p><b>KIP ANDERSON</b> Court Administrator Superior Court of Mohave County</p>
	<p><b><u>STAFF</u></b> <b>BOB MACON</b> Probation Automation Manager Arizona Supreme Court, AOC</p>

**E-COURT SUBCOMMITTEE  
2011-2012 MEMBERSHIP LIST**

<p><b><u>CHAIR</u></b> <b>ANDREW HURWITZ</b> Vice Chief Justice Arizona Supreme Court</p>	
<p><b>ANDREW GOULD</b> Presiding Judge Superior Court in Yuma County</p>	<p><b>MICHAEL JEANES</b> Clerk of the Court Superior Court in Maricopa County</p>
<p><b>DIANE DRAIN</b> Attorney State Bar Representative</p>	<p><b>DAN DODGE</b> Justice of the Peace Highland Justice Court</p>
<p><b>KARL HECKART</b> Director, Information Technology Division, CIO Arizona Supreme Court, AOC</p>	<p><b>SHERI NEWMAN</b> Clerk of the Court Superior Court in La Paz County</p>
<p><b>DONALD JACOBSON</b> Court Administrator Flagstaff Municipal Court</p>	<p><b><u>STAFF</u></b> <b>STEWART BRUNER</b> Strategic Planning Manager Arizona Supreme Court, AOC</p>

## II. PLANNING METHOD AND PARTICIPANTS

The Judiciary's planning process is a major Judicial Branch activity involving many people and organizations. It includes:

- The Chief Justice
- The Director of the Administrative Office of the Courts (AOC)
- Division Directors of the AOC
- The Arizona Judicial Council and its subcommittees, which includes the Commission on Technology
- Members of the public
- Presiding judges
- Clerks of the court
- Judges
- Court administrators
- Chief probation officers
- Court staff throughout the state

The planning process emphasizes the alignment of business goals and the IT strategies and projects.

Building on the foundation of former Chief Justice Ruth V. McGregor, who continued leadership and direction to the Judiciary in targeting five main goals through the Judicial Branch's strategic agenda, *Justice 20/20: A Vision of the Future of the Arizona Judicial Branch 2010-2015*, adopted in March 2010 in conjunction with the initial State of the Judiciary address by Chief Justice Rebecca White Berch, identifies the following as the Judiciary's goals for the period 2010 through 2015:

- Strengthening the Administration of Justice;
- Maintaining a Professional Workforce and Improving Operational Efficiencies;
- Improving Communications;
- Protecting Children, Families, and Communities; and
- Improving the Legal Profession.

The process by which the goals were updated included use of a new strategic planning website for stakeholder collaboration and online comment forum as well as meetings with presiding judges, clerks of court, members of the Arizona Judicial Council and key court staff throughout the Judiciary. This agenda remains the blueprint for building increased public trust in court systems, and inspiring confidence that individual rights are being protected and all Arizona citizens are being treated fairly.

This is the sixteenth year that the Judiciary has published a formal information technology plan; each year the strategic IT initiatives have been reassessed and re-prioritized to assure they meet the stated mission and strategic organizational initiatives of the Judiciary. IT initiatives were crafted to support business goals that appear in

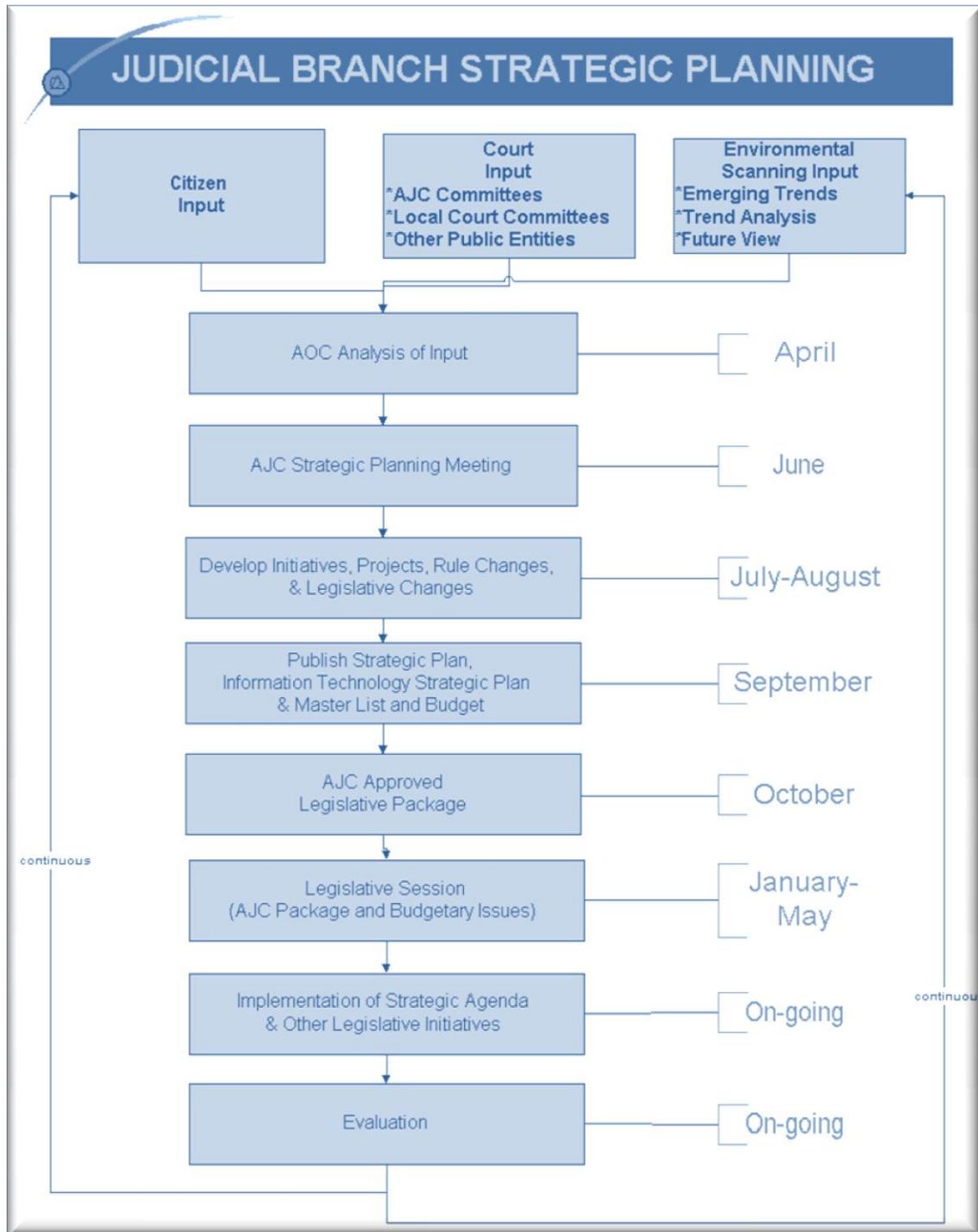
***Justice 20/20: A Vision of the Future of the Arizona Judicial Branch 2010-2015.***

The timeline for the development of this IT strategic plan was as follows:

<b>SEPTEMBER 2011</b>
Commission on Technology continued its requirement for only biennial updates from the rural counties and for separating the business drivers update process from the technology updates.
<b>OCTOBER 2011</b>
Previous plans were distributed to the six counties not updating their strategic plans last year, plus Maricopa and Pima.
<b>JANUARY 2012</b>
Business input from counties was reviewed and prepared for presentation to Commission on Technology. In addition, project and technical portions of the document were distributed to contacts in the counties for update.
<b>MARCH/APRIL 2012</b>
Eight updated County Court Information Technology Strategic Plans and the updated State Appellate Courts Strategic Plan were submitted to AOC for review and analysis. Staff prepared summaries of the plans for the use of COT members in the annual planning meeting.
<b>JUNE 2012</b>
Commission on Technology members identified three key tiers of business priorities and mapped strategic projects into those tiers. COT also approved the revised County and State Appellate Court Information Technology Strategic Plans submitted. AJC subsequently reviewed the project priorities and approved funding for the strategic projects recommended by COT.
<b>SEPTEMBER 2012</b>
Commission on Technology approved the Arizona Judicial Branch Information Technology Strategic Plan for 2013-2015 at its September meeting. Following final edits, the plan was submitted to ADOA ASET (formerly GITA) and JLBC.

Figure 1 below illustrates the typical processes and timing of the Arizona Judicial Branch Strategic Planning effort.

FIGURE 1. ARIZONA JUDICIAL BRANCH STRATEGIC PLANNING



### III. JUDICIAL BRANCH VISION



*We must keep our focus as we navigate the challenges of operating a court system that serves a growing population of more than six million people. Case loads are exploding, while court funding is diminishing. We are proud of the technological advances we have made, and we have bold plans to implement new technologies to make the courts even more efficient. Using technology to improve access to court documents and to allow more electronic filing will continue to make the courts more transparent, accessible, and effective.*

*From... Justice 20/20: A Vision for the Future of the Arizona Judicial Branch 2010-2015*

The Honorable Rebecca White Berch assumed the leadership of the Judiciary in June 2009, becoming Chief Justice of the Arizona Supreme Court. She has provided direction to the Arizona Courts with her statement of Judicial Branch strategic initiatives in *Justice 20/20: A Vision for the Future of the Arizona Judicial Branch 2010-2015*, released in March 2010. The vision encompasses five broad goals, each associated with several key strategic business needs. This agenda is a road map to increasing the public's trust in and access to the court system.

#### **STRENGTHENING THE ADMINISTRATION OF JUSTICE**

The Arizona Judiciary is committed to improving the administration of justice. Every person has the right to a prompt, fair, and impartial hearing. The pursuit of justice thus requires that cases be heard in a timely manner and processed efficiently. To accomplish this goal, the courts require effective case processing and efficient management of information and resources. In this era of dwindling resources, the Arizona judicial system must review and modernize operations and policies to ensure that public resources are used effectively, efficiently, and accountably.

## **MAINTAINING A PROFESSIONAL WORKFORCE AND IMPROVING OPERATIONAL EFFICIENCIES**

Maintaining a professional workforce and improving operational efficiencies are essential to achieving excellence. Judicial Branch leadership must continuously examine and improve not only the systems, processes, and procedures used to deliver justice to Arizonans, but also the competency and professionalism of those who do the courts' work. The courts value and encourage diversity and treat all people with courtesy, respect, fairness, and dignity.

## **IMPROVING COMMUNICATIONS**

Public confidence in the judicial system is fostered by understanding the work of the courts. In recent years, the Arizona Judiciary has increased its efforts to educate the public through seminars, outreach programs, and publications. As the public comes to rely on technology to conduct business and obtain information, the Judicial Branch must continue to adapt how it interacts and communicates with the public.

Although the method of delivery is important, the content of communications is more so. Court communications must convey timely, relevant, and meaningful information to court system employees and volunteers, members of the public attempting to access the courts, justice system partners working in collaboration with the courts, and funding entities allocating scarce resources. In every circumstance, success depends upon timely communication of clear, concise information.

## **PROTECTING CHILDREN, FAMILIES AND COMMUNITIES**

The removal of an abused or neglected child from the parents' home and the termination of parental rights involve significant government intrusions into the family and represent a significant use of the court's authority. For such cases, all parties must be assured prompt access to courts and due process. The judicial system must consider the rights of the parents and the safety and wellbeing of the child or children.

On the other end of the age spectrum, the latest estimates from the U.S. Census Bureau indicate that nearly one quarter of Arizona's population is at least 55 years of age. The ramifications of an aging population on the Judicial Branch include increased filings in the areas of guardianship, conservatorship, elder fraud, and physical abuse.

Although significant strides have been made to ensure that fiduciaries are held accountable for the services they provide to their vulnerable clients, much remains to be done to protect our seniors and other vulnerable persons. The recent report of the Committee on Improving Judicial Oversight and Processing of Probate Court Matters contains two recommendations that depend upon technology to better enable the judiciary to protect Arizona's vulnerable and incapacitated persons.

Holding those convicted of crimes accountable and reducing their likelihood of re-offending is central to protecting Arizona's communities. Evidence-based sentencing relies on a set of tools designed to offer judicial officials objective, scientific research about criminal behavior to assist them when making probation decisions. Coordinating

objective data with the risk level of each probationer allows the judicial officer to tailor a term of probation and supervision that will achieve greater levels of success in rehabilitation and preventing recidivism. In the criminal process, we must also help ensure that victims are afforded the full panoply of rights available to them.

### **IMPROVING THE LEGAL PROFESSION**

The Arizona Supreme Court regulates the practice of law, ensuring that Arizona attorneys meet the highest standards of professionalism and comply with rules designed to protect the public.

During the past decade, the Arizona Supreme Court and the State Bar of Arizona have worked to improve the attorney discipline system. The Court wishes to maintain a fair and impartial discipline system, while decreasing the time and cost to process discipline cases, especially those that proceed to formal charges. Although progress has been made, more can be done to reduce processing times without compromising fairness.

The Court's authority to regulate the practice of law also includes establishing qualifications for admission to practice law in Arizona. New and amended rules of the Supreme Court have modernized Arizona's admission process by allowing "admission on motion" for lawyers who meet Arizona character and fitness standards and are licensed in other states that have substantially similar admission requirements.

Additionally, the Court, through its Committee on Examinations, is identifying opportunities to participate in a uniform bar examination (UBE). UBE scores will be portable to other states that give the UBE. The Court is also studying ways to streamline the character and fitness application and reference check procedure for Arizona State Bar applicants. In addition, the Court is working toward the goal of putting online the entire application process for admission to the Arizona State Bar.

## IV. JUDICIAL BRANCH STRATEGIC INITIATIVES

### JUSTICE 20/20: A VISION FOR THE FUTURE OF THE ARIZONA JUDICIAL BRANCH 2010 - 2015

#### GOAL 1 STRENGTHENING THE ADMINISTRATION OF JUSTICE

The Arizona Judiciary is committed to improving the administration of justice. Every person has the right to a prompt, fair, and impartial hearing. The pursuit of justice thus requires that cases be heard in a timely manner and processed efficiently. To accomplish this goal, the courts require effective case processing and efficient management of information and resources. In this era of dwindling resources, the Arizona judicial system must review and modernize operations and policies to ensure that public resources are used effectively, efficiently, and accountably.

#### 1-A USING TECHNOLOGY EFFECTIVELY

As case filings increase and the public demand for information soars, the judiciary must use innovative technology to enhance operations. The objective is not simply to adopt new technology for its own sake, but to solve business-process problems, provide prompt, reliable information to decision makers, and improve service to the public.

#### ACTION PLAN

- **Modernize to improve court processes and information gathering, tracking, and sharing through implementation of case management systems in**
  - Juvenile Court: JOLTSaz,
  - Limited Jurisdiction Court: AJACS, and
  - General Jurisdiction Court: AJACS.
- **Modernize the methods for producing timely records of court proceedings.**
- **Expand use of e-Citation to electronically transfer citation information from law enforcement to the courts.**
- **Improve efficiency of case processing through implementation of e-filing capabilities in all cases and in all courts.**
- **Provide judges the tools they need to operate in the digital court environment.**
- **Implement public access to courts through AZ Turbo Court.**
- **Use technology to provide efficient access to court documents while ensuring the security of confidential information.**

## 1-B

### SIMPLIFYING AND ENHANCING SYSTEMS

The legal system can be intimidating and its complexity can make navigation difficult for victims, witnesses, and litigants not represented by counsel. Simplifying the rules for less complex cases and streamlining case management processes can help make court proceedings understandable and should result in greater public trust and confidence in the system.

#### ACTION PLAN

- **Streamline case processing by**
  - Developing new rules for processing guardianships,
  - Allowing for plea by mail or via the internet for minor criminal traffic cases, petty offenses, and some class 3 misdemeanor cases, while ensuring crime victims' rights,
  - Developing separate, simplified rules for civil cases in justice courts, and
  - Applying case management procedures to misdemeanor cases to expedite case dispositions.
- **Review Supreme Court case processing to identify greater efficiencies.**
- **Produce an expanded index of court rules to enhance usability for court employees and the public.**
- **Create a searchable “opinions” database for judges.**
- **Establish a committee to review the Federal Rules of Evidence and Civil Procedure and to conform the Arizona Rules of Procedure and Evidence if appropriate.**
- **Review methods of rotating and training judges for new assignments.**
- **Expand the use of less costly, more efficient trial alternative processes, such as arbitration, mediation, and mini-trials.**

## 1-C

### IMPROVING PUBLIC ACCESS, TRANSPARENCY, AND ACCOUNTABILITY

Public confidence in the courts is predicated, in part, on transparency of processes, access to reliable information, and timely resolution of disputes. In this era of “on demand” information, the public expects instant access to judicial branch information. Case information and documents must be readily available. Courts are also acquiring the ability to allow electronic filing and access to court records.

To serve the growing number of non-English speaking members of the public, information about court processes and procedures must be provided in languages other than English, and the number of available, qualified interpreters must be increased.

#### ACTION PLAN

- **Revise the Supreme Court Rules governing public access to court records:**
  - Ensure transparency and full access, and,
  - Be vigilant in protecting confidential information.
- **Continue implementing the Court Performance Measures.**
- **Translate the Guide to Arizona Courts, the Handbook on Dependency Cases, and other informational pamphlets and brochures into Spanish and other languages and make them available to the public through the Supreme Court’s Website.**
- **Assist self-represented litigants by:**

- Implementing intelligent e-filing, and
- Providing online video presentations describing how to access the courts.
- **Enhance the abilities and expand the availability of qualified language interpreters for non-English speaking participants in the justice system.**

## GOAL 2 MAINTAINING A PROFESSIONAL WORKFORCE AND IMPROVING OPERATIONAL EFFICIENCIES

Maintaining a professional workforce and improving operational efficiencies are essential to achieving excellence. Judicial Branch leadership must continuously examine and improve not only the systems, processes, and procedures used to deliver justice to Arizonans, but also the competency and professionalism of those who do the courts' work. The courts value and encourage diversity and treat all people with courtesy, respect, fairness, and dignity.

### 2-A MAINTAINING A PROFESSIONAL WORKFORCE

The Judicial Branch must continue the professional development of judges and court employees to ensure that they adhere to the highest standards of competence, conduct, integrity, professionalism, and accountability. Arizona's robust ethnic and cultural diversity require that the courts and court employees be culturally aware. The courts must strive for a justice system in Arizona that is free from actual or perceived bias of any kind.

#### ACTION PLAN

- **Enhance training for judges and court employees.**
- **Develop court leaders:**
  - Implement the revised Court Management Program and Fellowship Certification Program, and,
  - Revive the Court Leadership Institute of Arizona.
- **Develop a training program for limited jurisdiction court supervisors.**
- **Develop an ongoing training program that provides court employees with the knowledge necessary to properly process cases and to operate the case, document, and financial management systems.**
- **Expand cultural awareness and sensitivity training for judges, court staff, probation officers, and volunteers.**
- **Adopt an updated Employee Code of Conduct.**
- **Modernize the current probation academy curriculum to introduce and instill evidence based principles.**
- **Study the feasibility of a middle-management program for probation officers.**
- **Increase the flexibility, frequency, and cost effectiveness of training:**
  - Form partnerships with universities and colleges, and
  - Develop distance-learning technologies.

## 2-B

### IMPROVING OPERATIONAL EFFICIENCIES

One of the most effective ways to ensure justice free from political influence is to have a consistent and reliable source of funding. The economic downturn has resulted in increased case filings, just as the resources available to the courts are diminishing. The loss of resources poses new and extraordinary challenges as courts strive to preserve fundamental rights and continue to perform statutory and constitutional duties.

The physical environment in which court services are provided must be free from threats to safety, and courts must be prepared to continue or resume operations in the event of disasters and epidemics.

#### ACTION PLAN

- **Explore methods to provide more consistent, stable funding for the court system to offset economic ups and downs:**
  - Hold a summit to consider reliable funding sources, and
  - Explore alternative methods for funding court facilities and operations.
- **Improve and enhance security in the courts and probation offices to protect the public, witnesses, victims, jurors, and court personnel:**
  - Update “continuity of operations” plans,
  - Develop a communications network for security personnel,
  - Provide additional training to court security personnel and explore the benefits of a court security certification program,
  - Assist in developing a safety contingency plan for courts that do not have regular security staff, and
  - Survey and review the current status of security in probation offices.
- **Encourage all court operations, construction, and technology to be as energy efficient, environmentally friendly, and sustainable as possible. Look for opportunities to reduce overall energy costs.**

## GOAL 3 IMPROVING COMMUNICATIONS

Public confidence in the judicial system is fostered by understanding the work of the courts. In recent years, the Arizona Judiciary has increased its efforts to educate the public through seminars, outreach programs, and publications. As the public comes to rely on technology to conduct business and obtain information, the Judicial Branch must continue to adapt how it interacts and communicates with the public.

Although the method of delivery is important, the content of communications is more so. Court communications must convey timely, relevant, and meaningful information to court system employees and volunteers, members of the public attempting to access the courts, justice system partners working in collaboration with the courts, and funding entities allocating scarce resources. In every circumstance, success depends upon timely communication of clear, concise information.

### 3-A WITH THE PUBLIC

Online resources, such as web pages and social networking tools, are shaping how members of the public interact with their communities, elected officials, and government. Courts must develop and deploy a communication strategy that appropriately incorporates these new technologies.

#### ACTION PLAN

- **Employ technology to enhance communications within the courts and with the public:**
  - Redesign and update the Supreme Court's Website,
  - Consider use of new social networking tools, and
  - Increase use of video conferencing, webinars, internet meetings, and webcasts.
- **Educate the public and key stakeholder groups on the importance of the rule of law and impartial, high quality courts:**
  - Produce a statewide Law Day program,
  - Maintain Law for Seniors and Law for Kids, and produce similar programs, and
  - Maintain and help implement civic education programs such as "We the People."
- **Enhance communication with minority and local bar associations and communities.**
- **Identify opportunities to enhance understanding of the role of the courts and Judicial Performance Review.**

### 3-B WITH OTHER BRANCHES OF GOVERNMENT AND JUSTICE SYSTEM PARTNERS

Clear and effective communication with other branches of government is essential to the work and success of the courts. The Judicial Branch must also communicate and coordinate with key stakeholders to enhance their understanding of the Judicial Branch's responsibilities and to assist in carrying out Judicial Branch functions. The Court seeks to improve business relations and promote new partnerships.

#### ACTION PLAN

- **Maintain and improve communications with other branches of government, communities, agencies, and stakeholders.**
- **Seek opportunities to work with local and national bar associations, legal services organizations, and other community organizations to partner on appropriate projects.**

## GOAL 4 PROTECTING CHILDREN, FAMILIES, AND COMMUNITIES

The removal of an abused or neglected child from the parents' home and the termination of parental rights involve significant government intrusions into the family and represent a significant use of the court's authority. For such cases, all parties must be assured prompt access to courts and due process. The judicial system must consider the rights of the parents and the safety and wellbeing of the child or children.

On the other end of the age spectrum, the latest estimates from the U.S. Census Bureau indicate that nearly one quarter of Arizona's population is at least 55 years of age. The ramifications of an aging population on the Judicial Branch include increased filings in the areas of guardianship, conservatorship, elder fraud, and physical abuse.

Although significant strides have been made to ensure that fiduciaries are held accountable for the services they provide to their vulnerable clients, much remains to be done to protect our seniors and other vulnerable persons.

Holding those convicted of crimes accountable and reducing their likelihood of reoffending is central to protecting Arizona's communities. Evidence based sentencing relies on a set of tools designed to offer judicial officials objective, scientific research about criminal behavior to assist them when making probation decisions. Coordinating objective data with the risk level of each probationer allows the judicial officer to tailor a term of probation and supervision that will achieve greater levels of success in rehabilitation and preventing recidivism. In the criminal process, we must also help ensure that victims are afforded the full panoply of rights available to them.

### 4-A PROTECTING VULNERABLE CHILDREN AND FAMILIES

Reforms implemented within the last several years to protect children, families, and vulnerable persons in Arizona must continue to receive priority.

#### ACTION PLAN

- **Ensure prompt dependency and severance trials and appeals.**
- **Participate in the national effort to collect data and determine the issues affecting the elderly.**
- **Review the proposed national reporting standards for abused and neglected children and their families to determine standards for Arizona.**
- **Improve legal representation in cases involving abuse, neglect, delinquency, and dependency:**
  - Ensure that court volunteers who work with children and who make recommendations to the court are trained in core competencies, and
  - Consider adopting and implementing dependency attorney standards.
- **Provide continuing education to the judiciary on the impact of child abuse and neglect.**
- **Respect the unique demographics and needs of children in the dependency system by striving to diversify the base of volunteers who serve them.**
- **Examine model delinquency guidelines and determine which guidelines should be applied in Arizona courts.**
- **Review the child support guidelines and implement changes approved by the Arizona Judicial Council.**

- **Review the current processing of domestic violence cases and recommend improvements.**
- **Hold a statewide domestic violence prevention training summit and develop distance learning training modules on relevant domestic violence topics.**
- **Develop a training manual for court staff that process domestic violence cases.**

#### **4-B**

### **PROTECTING COMMUNITIES**

Provide a balanced approach to probation that holds probationers accountable, keeps our communities safe, and provides treatment and rehabilitative services to offenders.

#### **ACTION PLAN**

- **Reduce revocations by striving for successful terminations from probation.**
- **Implement Project SAFE (Swift, Accountable, Fair Enforcement).**
- **Employ evidence based practices to**
  - Improve the revocation process,
  - Incorporate evidence based practices into Juvenile Justice Services field operations,
  - Complete a statewide rollout of all evidence based practice codes, and,
  - Establish a process to evaluate adult treatment programs.
- **Implement the juvenile detention center certification and monitoring process.**
- **Evaluate the effectiveness of therapeutic courts.**

## GOAL 5 IMPROVING THE LEGAL PROFESSION

The Arizona Supreme Court regulates the practice of law, ensuring that Arizona attorneys meet the highest standards of professionalism and comply with rules designed to protect the public. During the past decade, the Arizona Supreme Court and the State Bar of Arizona have worked to improve the attorney discipline system. The Court wishes to maintain a fair and impartial discipline system, while decreasing the time and cost to process discipline cases, especially those that proceed to formal charges. Although progress has been made, more can be done to reduce processing times without compromising fairness.

The Court's authority to regulate the practice of law also includes establishing qualifications for admission to practice law in Arizona. New and amended rules of the Supreme Court have modernized Arizona's admission process by allowing "admission on motion" for lawyers who meet Arizona character and fitness standards and are licensed in other states that have substantially similar admission requirements.

Additionally, the Court, through its Committee on Examinations, is identifying opportunities to participate in a uniform bar examination. UBE scores will be portable to other states that give the UBE. The Court is also studying ways to streamline the character and fitness application and reference check procedure for Arizona State Bar applicants. In addition, the Court is examining the feasibility of putting online the entire application process for admission to the Arizona State Bar.

### 5-A HOLDING LAWYERS ACCOUNTABLE

The Disciplinary Commission is a regulatory body to which citizens may bring their complaints about lawyer conduct. The transparency and continued improvement of this system is important to maintain public trust in the legal profession.

#### ACTION PLAN

- **Improve the lawyer discipline system to provide a swift, fair, and cost-effective process that protects the public and preserves the professionalism of the practice of law, while affording due process to those charged:**
  - Establish a task force to study the attorney discipline system,
  - Submit the task force report and recommendations to the Supreme Court,
  - Submit a rule-change petition for any needed structural or procedural changes, and,
  - Implement any system changes approved by the Supreme Court.
- **Communicate to the public and the legal community the outcome of any process changes.**

## 5-B

### MODERNIZING THE ATTORNEY ADMISSION SYSTEM

The Arizona Supreme Court governs admission to the practice of law in Arizona and authorizes exceptions to the standard examination and admission process. Modernizing the admission process by allowing admission on motion is a national trend that recognizes that the practice of law is no longer confined to the boundaries of one state. Admission on motion will make admission to the practice of law in Arizona more efficient, while ensuring that the public is protected against those attorneys who do not meet the qualifications for practice in Arizona.

As the practice of law becomes more national and transnational, state supreme courts are moving toward adopting a uniform bar examination, which will allow properly qualified attorneys to transfer their examination scores to other qualifying U.S. jurisdictions. Arizona is among the states considering the uniform bar examination.

#### ACTION PLAN

- **Implement admission on motion.**
- **Streamline the character and fitness process.**
- **Implement an online bar application process.**
- **Explore adoption of the uniform bar examination.**
- **Examine how best to regulate the multijurisdictional and transnational practice of law.**

## V. INFORMATION TECHNOLOGY STRATEGIC INITIATIVES

### BACKGROUND

The Commission on Technology has identified information technology goals, strategic initiatives, and strategic projects that support the vision and strategic initiatives of *Justice 20/20*. Together, they set technology direction for the Judiciary and the Information Technology Division of the Administrative Office of the Courts, which staffs and supports statewide projects.

The Commission on Technology's authority and responsibility for the identification of the information technology priorities for the Judiciary are outlined below.

#### COMMISSION ON TECHNOLOGY: BACKGROUND

The Commission on Technology, a committee of the Arizona Judicial Council (AJC), has identified the strategies for automation statewide to support goals aligned with the overall vision and goals of the Judiciary. The Commission on Technology, one of five standing committees of the Arizona Judicial Council, was established in 1990. The Commission was charged with "providing strategic leadership for the successful application of information technology to improve access, efficiency and the quality of justice of the Arizona Court System." The Commission's charge to oversee the application of technology in the courts is consistent with the strategic initiatives and priorities of the Judiciary.

The Commission typically meets five times per year; subcommittees meet more often. Members include judges, clerks of court, court administrators, a State Bar representative, a Legislative Branch representative, a Governor's Office representative, a League of Cities and Towns representative, a County Supervisors' Association representative, and the public. Commission subcommittees provide technical advice and counsel to Commission members. A list of the Fiscal Year 2012 Commission on Technology membership and that of its subcommittees is included in the Introduction.

#### COMMISSION ON TECHNOLOGY: AUTHORITY

The Commission on Technology is similar in function to the Arizona Executive Branch's Information Technology Authorization Committee (ITAC). For instance, it reviews and approves Judicial Collections Enhancement Fund (JCEF) grant requests for automation projects. The Commission approves funding requests and provides support for projects that further the goals contained in this document. The Commission's authority and responsibility are to:

- Establish the goals, policies, and priorities for the statewide Judicial Information Technology Plan.

- Determine the allocation of available Judicial Collection Enhancement Funds for automation grant requests and projects consistent with the direction, standards, and priorities of the Judicial Strategic Business and Information Technology Plans. The Arizona Judicial Council determines the amount of funds available for this purpose.
- Oversee the statewide judicial branch data communications network, including establishing security standards and procedures.
- Develop and submit for approval statewide technical standards, which shall be used in all court automation projects, including security, disaster recovery, and communication standards.
- Oversee the selection, development, and support of automation systems used by multiple courts and supported by the Administrative Office of the Courts.
- Encourage projects which utilize technology to increase accessibility to the courts, improve court efficiency, and improve court management.
- Review and approve countywide court information technology plans for consistency with the Judiciary's Strategic Business and Information Technology Plans.
- Review and approve or disapprove court technology projects that exceed a cost of \$250,000. The Commission also establishes the policies and procedures for the submission of project plans.
- Monitor the progress of all court automation projects pursuant to county-wide court information technology plans.

#### **COMMISSION SUBCOMMITTEE: TECHNICAL ADVISORY COUNCIL**

The Technical Advisory Council (TAC) is a subcommittee of the Commission on Technology whose members provide a technical perspective and expertise to the Commission. They are charged to respond to Commission requests to recommend specific standards and technologies needed to carry out statewide policies and priorities. They may also be requested to review technical aspects of automation plans and grant requests and make recommendations regarding technical standards and approaches. Technical standards, technology architectures, and recommendations for specific technology solutions come from this group.

#### **COMMISSION SUBCOMMITTEE: COURT AUTOMATION COORDINATING COMMITTEE**

The Court Automation Coordinating Committee (CACC) is charged with coordinating the automation initiatives and integrations that affect the trial courts, including the dependence of any statewide project on other local projects. It oversees development of statewide automation systems to ensure they can be implemented in other Arizona courts. It also oversees implementations to ensure goals are being met.

## **COMMISSION SUBCOMMITTEE: PROBATION AUTOMATION COORDINATING COMMITTEE**

The Probation Automation Coordinating Committee (PACC) functions as a conduit between business users of probation automation and the technologists who provide and support that automation. Probation automation tools include the statewide records management systems for adults (APETS) and juveniles (JOLTS/JOLTSaz).

## **COMMISSION: SUPPORT STAFF**

Staff in the Information Technology Division (ITD) of the Administrative Office of the Courts serves as support to the Commission on Technology, much as the Arizona Strategic Enterprise Technology Office (ASET) performs the staffing function for ITAC. Beyond staffing, ITD provides development and support as well as vendor management resources for many of the statewide initiatives currently in process. ITD personnel, under the direction of Mr. Karl Heckart, CIO, plan to continue to staff the implementation, support, and enhancement of such statewide activities as replacement of case and financial management systems, the Arizona Judicial Information Network (AJIN), the Judicial Intranet, the customer service center, and all other centralized services. ITD staff members also provide support to ad hoc subcommittees, such as Funding or e-Court, created by a motion of the COT.

## **COURT STRATEGIC INITIATIVES (GOALS AND INITIATIVES NAMES)**

### **COMMISSION IDENTIFIED STRATEGIC BUSINESS NEEDS**

In the fall of 1993 during a strategic planning retreat, the Commission on Technology identified the following strategic business needs related to automation. These needs support the overall mission and goals statement of the Judiciary. (For the purposes of this plan “effectiveness” is defined as including both quantity and quality.)

In order of the Commission’s assigned priority, they are:

- Improved effectiveness in the maintenance of court records.
- Improved effectiveness in case management.
- Improved effectiveness in courts’ communications among themselves and with other justice and law-enforcement agencies.
- Improved effectiveness in the courtroom by employing technology in courtroom activities.
- Improved effectiveness in the business functions of court operations.
- Improved effectiveness in the enforcement of court orders, including collections.
- Improved effectiveness of probation tracking.
- Provide education to court staff and the public regarding the justice system and technology as used in the courts.
- Improved effectiveness in the maintenance of official appellate court records.

- Improved effectiveness in jury management.
- Improved effectiveness in juvenile court and juvenile detention records and case management.
- Improved effectiveness of facilities management.

In September of both 1996 and 1998 at its second and third strategic planning retreats, the Commission identified and reaffirmed information technology automation goals for the Judiciary and the strategic IT initiatives to support them. In its April and May 1998 meetings, the Commission on Technology reviewed the strategic initiatives in published IT Strategic Plans and reaffirmed them, adding Year 2000 readiness.

The Commission has recently reaffirmed these goals and strategic initiatives yet again. The initiatives have been aligned with and in support of *Justice 20/20* goals, and with the previously identified business needs of the court.

The information technology automation goals are:

STATEWIDE INFORMATION TECHNOLOGY AUTOMATION GOALS FISCAL YEARS 2013 – 2015	
1.	Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.
2.	Improve information access and communication from and to judicial entities as well as the other criminal justice system functions.
3.	Investigate and invest in technology solutions that improve judicial effectiveness in handling growing caseloads.

To achieve these goals, the Commission on Technology has identified the following broad strategic initiatives. This strategic agenda is both consistent with previous years' IT Plans and with the updated focus provided by Chief Justice Berch in *Justice 20/20: A Vision of the Future of the Arizona Judicial Branch 2010-2015*.

The information technology strategic initiatives are:

**INFORMATION TECHNOLOGY  
STRATEGIC INITIATIVES**  
FISCAL YEARS 2013 – 2015

1. Promote a *systemic thinking* approach to technological solutions.
2. Provide infrastructure (including the network, data center, centralized help desk, field support, training, and distributed systems management capabilities), processes, and procedures to support statewide court communication, automation, and integration.
3. Enhance information security and disaster recovery policies, procedures, and technology to protect statewide court technology-related assets.
4. Standardize processes and solutions to improve efficiency and effectiveness of court operations.
5. Complete, maintain, and enhance second-generation statewide automation projects.
6. Improve data exchange and communications with the public, the other criminal justice functions, and outside agencies while appropriately safeguarding confidential information.
7. Digitize the entire court environment.
8. Provide divisions of the Administrative Office of the Courts with automated solutions to meet internal goals and objectives.

## STRATEGIC TECHNOLOGY PROJECT ALIGNMENT WITH BUSINESS INITIATIVES

Given the information technology business needs, goals, and strategic initiatives, the Commission has elected to give high priority to several strategic technology projects. The strategic technology projects, aligned with the strategic business initiatives, are as follows:

<b>INFORMATION TECHNOLOGY STRATEGIC PROJECTS FISCAL YEARS 2013-2015</b>	
<b>TECHNOLOGY STRATEGIC PROJECTS</b>	<b>ALIGNMENT WITH "JUSTICE 20/20: A VISION FOR THE FUTURE OF THE ARIZONA JUDICIAL BRANCH 2010-2015"</b>
<b>Electronic Filing Related Projects</b>	<p>Improve efficiency of case processing through implementation of e-filing capabilities in all cases and in all courts.</p> <p>Assist self-represented litigants by implementing intelligent e-filing.</p>
<b>Integration-Related Projects</b>	<p>Modernize to improve court processes and information gathering, tracking, and sharing.</p> <p>Expand use of e-Citation to electronically transfer citation information from law enforcement to the courts.</p>
<b>New Case Management Systems Development / Enhancements</b>	<p>Modernize to improve court processes and information gathering, tracking, and sharing through implementation of case management systems in</p> <ul style="list-style-type: none"> <li>Juvenile Court: JOLTSaz,</li> <li>Limited Jurisdiction Court: AJACS, and</li> <li>General Jurisdiction Court: AJACS.</li> </ul>
<b>Process Standardization</b>	<p>Continue implementing Court Performance Measures.</p> <p>Assist self-represented litigants by implementing intelligent e-filing.</p>
<b>Probation Automation Development / Enhancements</b>	<p>Modernize to improve court processes and information gathering, tracking, and sharing through implementation of case management systems in</p> <ul style="list-style-type: none"> <li>Juvenile Court: JOLTSaz.</li> </ul> <p>Employ evidence based practices.</p>
<b>Business Continuity</b>	<p>Update "continuity of operations" plans to be prepared to continue or resume operations in the event of disasters and epidemics.</p>

**INFORMATION TECHNOLOGY STRATEGIC PROJECTS  
FISCAL YEARS 2013-2015**

TECHNOLOGY STRATEGIC PROJECTS	ALIGNMENT WITH "JUSTICE 20/20: A VISION FOR THE FUTURE OF THE ARIZONA JUDICIAL BRANCH 2010-2015"
<b>LJ Electronic Document Management Projects</b>	<p>Improve efficiency of case processing through implementation of e-filing capabilities in all cases and in all courts.</p> <p>Provide judges the tools they need to operate in the digital court environment.</p>
<b>Automation/Technical Training</b>	<p>Develop an ongoing training program that provides court employees with the knowledge necessary to properly process cases and to operate the case, document, and financial management systems.</p> <p>Develop distance-learning technologies.</p> <p>Increase use of videoconferencing, webinars, internet meetings, and webcasts.</p>
<b>Enterprise Architecture</b>	<p>Develop distance-learning technologies.</p> <p>Consider use of new social networking tools.</p> <p>Implement admission on motion and an online bar application process.</p>
<b>Electronic Document Access</b>	<p>Use technology to provide efficient access to court documents while ensuring the security of confidential information.</p> <p>Produce an expanded index of court rules to enhance usability for court employees and the public.</p> <p>Employ technology to enhance communications within the courts and with the public.</p>
<b>Judges' Automation</b>	<p>Provide judges the tools they need to operate in the digital court environment.</p> <p>Create a searchable "opinions" database for judges.</p>
<b>e-Warrants</b>	<p>Maintain and improve communications with other branches of government, communities, agencies, and stakeholders.</p>

## VI. FISCAL YEAR 2012 ACCOMPLISHMENTS

Below is a summary of the accomplishments of the Arizona Judicial Branch with respect to its information technology efforts during the 2012 fiscal year. Considerable progress was made on statewide strategic projects, despite continued budget and staffing challenges.

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
AZTEC SUPPORT AND MAINTENANCE	The modification project is enhancing AZTEC, the statewide ACAP software, to provide for enhanced functionality and usability, balanced with end-of-life considerations.	Enhanced AZTEC to automatically create defensive driving program receipts for the amount that transmitted from defensive driving schools. Added 'Finger Prints' and 'Out of Service' flags to court databases. Provided enhancements for Orders of Protection. Continued planning for AZTEC 1.6 to support e-filing.  Continued maintenance activities.
AZTEC COURT SUPPORT	Provide reporting and support to AZTEC courts.	Average of 265 support calls for AZTEC courts received each month with 96.5% being resolved within 5 days. 144 ad hoc reports were provided upon request to assist courts in their daily activities.
E-CITATION	Opening court cases automatically using ticket data from law enforcement.	Implemented Brazos Technologies handhelds in Cottonwood and Chino Valley Municipal Courts; APS handhelds in San Luis Municipal Court, Pima Consolidated Justice Court, and Green Valley Justice Court; and APS QuickTicket in Peoria Municipal Court.  Implemented photo enforcement in Sierra Vista Justice Court.  Implemented DPS AzTraCS in all AZTEC justice courts, several AZTEC municipal courts, Pima Consolidated, and Prescott Consolidated Courts.  Replaced MQTRANS with IBM MQ trigger process interface that reads incoming XML files and writes to AZTEC staging tables without incurring the system overhead associated with MQTRANS. Testing began for future implementations of handhelds and MCJC DPS AzTraCS.

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
<p><b>PROCESS AND CODE STANDARDIZATION</b></p>	<p>Support CMS transition by standardizing court processes and case-related codes then mapping the standard set of event, activity, and other codes.</p>	<p>Continued to establish and maintain standard code sets for AJACS GJ and LJ CMS projects. Standardization workgroups met monthly to add or modify codes for statewide use in both GJ and LJ environments.</p>
<p><b>PENALTY ENFORCEMENT PROGRAM (PEP)</b></p>	<p>The Fines, Fees and Restitution Enforcement (FARE) program and the Debt Set-Off program are the current automation portions of PEP.</p>	<p>FARE is implemented in 171 courts statewide, including two General Jurisdiction AJACS courts and 25 Maricopa County Justice Courts. To date, 2.9 million backlog cases have been submitted by courts life-to-date, totaling \$1.7 billion in FARE receivables. As of June 2012, backlog collections over the life of the program total \$265 million in outstanding local debts disbursed to statutory funds at the local, county, and state levels. The highest backlog collection month in program history was February 2012 with \$6.9 million.</p> <p>The Traffic Ticket Enforcement Assistance Program (TTEAP) holds total 669,885 and releases total over 354,588 (52.9%) life-to-date.</p> <p>Support Services fielded 8,560 public inquiries on the TTEAP program in FY2012.</p>
<p><b>TAX INTERCEPT PROGRAM (TIP)</b></p>	<p>TIP sends courts' and other participants' accounts receivable data electronically to the Department of Revenue and the State Lottery via a centralized clearinghouse at the Supreme Court. Any lottery or tax refund money for those who owe court fines is intercepted and paid to the courts.</p>	<p>As of May 2012, the Debt-Set-Off program intercepted \$17.1 million. This is the highest amount in program history, superseding the previous record of \$11.9 million intercepted in calendar year 2011 \$11.9 million intercepted throughout the entire 2011 calendar year.. Work continues on a federal tax intercept program to be passed by Congress.</p>
<p><b>EQUIPMENT MAINTENANCE &amp; UPGRADES</b></p>	<p>This includes the maintenance and upkeep of the equipment in 147 ACAP courts and 65 JOLTS sites across the state as well as a centralized data center with AS/400, RS/6000 and Windows servers supporting statewide AJIN, ACAP, APETS, JOLTS,</p>	<p>Increased disk storage capacity on all EMC storage attached network (SAN) environments to support continued growth in AOC's SQL database environments.</p> <p>Upgraded 13 SQL database server environments to SQL 2008 SP2 as part of multi-year project to upgrade all environments.</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
	TIP, and the Supreme Court.	<p>Decommissioned 9 Windows-based systems as a result of server and OS upgrades and consolidations. Re-architected and implemented a new EMC backup environment to support continued growth in disk storage and data recovery needs.</p> <p>Upgraded 4 AIX Unix environments to version 7.0, in preparation for redeployment.</p> <p>Expanded use of clustering technology in Windows environments to support the AJACS Form server application.</p>
AJIN ENHANCEMENTS	<p>Implement router-based software to maintain a database of previously seen traffic, provide compression, and aggregate multiple video streams into a single link at remote sites, thereby greatly accelerating network transport speed.</p>	<p>Upgraded 6 locations to Metro Ethernet, reducing annual network cost while increasing overall AJIN bandwidth.</p> <p>Extended secure wireless to a number of sites, enabling computer mobility.</p> <p>Installed connectivity for new Santa Cruz Superior, Douglas Regional Center, and North Canyon Justice Court facilities.</p> <p>Upgraded core routing infrastructure in Tucson, enhancing network throughput for all South LATA locations.</p> <p>Installed new Radius servers and began multi-year project to implement Dynamic Port Security to all AJIN locations. This will enhance network security while improving manageability and reliability.</p> <p>Replaced all Access Control Servers with higher end equipment, adding speed and redundancy to support all end point VPN environments.</p> <p>Upgraded Intrusion Prevention System, enabling faster identification of alerts.</p>
SECURITY AND DISASTER RECOVERY	<p>This threefold project will:</p> <p>Provide for statewide automation and network security,</p> <p>Develop disaster recovery strategies and acquire resources to implement them.</p>	<p>Performed, and passed, an external security audit of the AOC networking environment.</p> <p>Provided additional building security for FCRB in Tucson.</p> <p>Replaced DVR recorders and building cameras in support of State Courts and JEC.</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
	Provide IT building security for the State Courts, JEC, and Tucson FCRB locations.	<p>Implemented channel-level security to the MQ messaging infrastructure to provide enhanced security.</p> <p>Analyzed results of county courts' disaster recovery timeframes for statewide automation systems and prepared a cost analysis of the options.</p>
<b>INFRASTRUCTURE MAINTENANCE</b>	This support activity encompasses the many projects required to support the shared judicial branch infrastructure.	<p>Implemented new MQ Queue Manager in support of messaging between the AOC and DPS and new queues in support of AZYAS, JOLTSaz, SWID, AZTurboCourt and the ADRS and FARE interfaces for AJACS. Implemented ADERA software to provide improved database monitoring and performance analysis/forecasting.</p> <p>Supported creation of environments for and rollouts of numerous systems and applications, including upgrades.</p>
<b>AUTOMATION TRAINING</b>	This program includes all activity to provide training in statewide automation software and related business processes. It includes face-to-face training, developing Computer-Based Training (CBT) and conducting interactive distance learning sessions.	The program for funding a field trainer in each county court system received continued funding. Most counties have a field trainer, which improves the volume and frequency of local training on AZTEC and AJACS.
<b>JUVENILE ONLINE TRACKING SYSTEM (JOLTS)</b>	The Juvenile Online Tracking System (JOLTS) is used by all juvenile probation, detention and court staff. Centralized support is provided to 13 counties; Pima and Maricopa participate in enhancement projects and provide electronic data to the youth index and statistical database. JOLTS will be decommissioned once the rollout and implementation of JOLTSaz is complete, due to reliance on COBOL and AS/400 platform.	Support staff at AOC resolved problems and responded to questions and inquiries via Remedy tickets. Staff also responded to requests for county-level data statistical reports from the rural counties, JJSD, and DCSD. Duties include support for statewide year-end reporting and the data warehouse full load extracts for JJSD.

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
<b>ARIZONA YOUTH ASSESSMENT SYSTEM (AZYAS)</b>	<p>An audit conducted by the Arizona Office of the Auditor General revealed needs assessment functionality used inconsistently and infrequently by Probation Officers across the state. The Arizona Youth Assessment System (AZYAS) is a web-based application that provides case management, assessment, and data tracking tools. Needs assessments and case plans can be completed and updated by probation officers and supervisors for all assigned juveniles. The system generates notifications and reports to assist with caseload management and compliance tracking. In addition, AZYAS stores accessible information on juveniles, previously completed assessments along with case plans, treatment providers, and user information.</p>	<p>AZYAS Phase I was implemented for the rural counties January 12, for Maricopa County April 23. AZYAS Phase II was implemented for all counties statewide on May 31.</p>
<b>JOLTSaz</b>	<p>JOLTSaz will be a full juvenile tracking system, including both delinquency and dependency, for Pima and the 13 rural counties. It is being written with newer technology using VB.net, a single, centralized SQL database statewide and hosting a 3-tier open architecture design that best suits the organization's future needs.</p>	<p>Phase I of JOLTSaz, including Probation/CMS integration with AGAVE and CAMMS, was scheduled for implementation in Pima County early in FY13.</p> <p>Requirements, design, and development continue in support of the rollout of JOLTSaz, and Probation/CMS integration with AJACS to the rural counties.</p>
<b>JUVENILE PROBATION STATEWIDE IDENTIFIER (SWID)</b>	<p>No common standard method exists to uniquely identify juveniles in a timely and reliable fashion at the state level, meaning the same juvenile may have active case histories in multiple counties under different identifiers. A unique statewide identifier (SWID) for each juvenile</p>	<p>SWID was implemented in Maricopa County, using the iCIS system, in November 2011.</p> <p>Development of the SWID interface with the JOLTSaz system was scheduled for rollout with JOLTSaz in Pima County in early FY13.</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
	<p>in the state will promote accountability for juveniles and increase public safety. Faster identification of existing juveniles in JOLTSaz database will minimize duplicate work and improve productivity. SWID provides the necessary statewide view of juvenile history as well as a single integration point for outside agencies and external interfaces to the JOLTSaz system.</p>	
<p><b>ADULT PROBATION ENTERPRISE TRACKING SYSTEM (APETS)</b></p>	<p>Probation departments across the state cooperated to develop APETS to track adult probation cases. APETS has a single database structure so departments can send probationers electronically for inter-county supervision. The project started as a consortium between Maricopa County, Pima County, and the AOC.</p>	<p>To comply with state standards, APETS was upgraded to the latest version of PowerBuilder and the database converted from Informix to SQLServer 2008. The application was placed in production for all counties statewide in March 2012. The upgrade increased resolution to user's screens affording improved readability.</p> <p>In addition, staff continues to support and maintain the APETS production system.</p>
<p><b>PROBATION/CMS INTEGRATION (AJACS)</b></p>	<p>Streamline productivity through real-time data sharing via a common interface platform between applications. The goal is to reduce redundant data entry, paperwork, and timing delays, thus improving data integrity and</p>	<p>CMS Integration with AJACS is aligned with JOLTSaz and will be rolled out for Juvenile Probation Departments at the same time as other JOLTSaz functionality.</p> <p>CMS Integration for Adult Probation Services is a separate timeline and can start once testing of the interface between AJACS and</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
	consistency across applications.	APETS is complete.
<b>ENTERPRISE ARCHITECTURE</b>	<p>This project focuses on developing enterprise wide software, methods, standards, guidelines, and expertise for the development, support and maintenance of technology solutions.</p>	<p>Continued training and mentoring in technology areas. Performed periodic enterprise application development and code reviews to confirm adherence to standards.</p> <p>Continued review and design of development guidelines for ancillary and “bolt-on” modules for the AJACS GJ CMS application.</p> <p>Continued development, maintenance, and support of the enterprise architecture standards for JOLTSaz, AZYAS, SWID, and APETS development efforts throughout the year.</p> <p>Supported two AJACS production releases and two major test releases, investing substantial time with vendor in development and defect management activities. Continued support of development for LJ CMS with vendor, as well. SWAT Team data clean-up efforts for AJACS, resulted in closing 155+ Remedy tickets.</p> <p>Led XML and CCI technical specification development effort for various AZTurboCourt e-Filing projects including (Pima GJ Civil, MCJC Small Claims, and Appellate.)Began utilizing ROAM to build a central case index (CCI) for use in the e-filing application.</p> <p>Assisted with upgrading county OnBase systems and implementing new tool to facilitate electronic submission of AJACS documents to OnBase replacing the “print and scan” method.</p> <p>Completed study for a statewide electronic warrant repository with plans to move forward.</p> <p>Began move of public access case data into SQL server in order to extend the life of the Informix data warehouse server and gain experience with SSIS tool. Created central site for data warehouse reports and transferred two report groups there.</p>
<b>INTEGRATION:</b>	As part of the statewide,	Created training materials for the AJACS

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS						
<b>DISPOSITION REPORTING</b>	cooperative and long-term project to support and participate in automated integration projects; this project addresses the automated transfer of criminal case dispositions to the Arizona Department of Public Safety's criminal history repository.	<p>ADRS Interface and DPS ADRS Web application including user training manuals, quick reference guides, Camtasia videos and interactive PowerPoint help tools.</p> <p>Revised materials and processes to incorporate lessons learned in the pilot implementation at the Pinal County Superior Court then trained Yuma County representatives.</p> <p>Scheduled implementations for Mohave and La Paz counties.</p>						
<b>AUTOMATION TRAINING AND DESKTOP SUPPORT</b>	This includes the many activities required to support existing applications and desktops statewide. It includes training, help desk, and field support staff activities and projects.	<p>Remote computer access via Altiris continued to be performed on an as-needed basis during problem troubleshooting. Remote computer access via Altiris remains the standard process for performing on-going, routine training of customers as reported issues are being resolved. Support Center continues its significant improvement in overall resolution timeframes due to continued use of Altiris Remote Control functionality and use of Microsoft Remote Assistance Software. Software deployment for updated versions of supported applications also continued on a routine and project-coordinated basis.</p> <p>Continued to train all Support Services staff in new application versions.</p>						
<b>INTERNET PUBLIC INTERACTIVE SERVICE</b>	The Public Access to Court Case Information is an Internet site for the public to look up case information from 153 Arizona courts. It includes most criminal, civil, and traffic cases.	<p>The Supreme Court's redesigned web site had 8,525,837 page views* generated by 2,408,532 visits during the fiscal year. This is a significant increase in activity since the redesign went into production.</p> <p>In FY12, public access statistics are:</p> <table border="1" data-bbox="992 1577 1373 1877"> <tr> <td><b>PAGE VIEWS</b></td> <td><b>50,506,390</b></td> </tr> <tr> <td><b>VISITORS</b></td> <td><b>3,697,198</b></td> </tr> <tr> <td><b>AVERAGE VISITORS / Hr</b></td> <td><b>621</b></td> </tr> </table>	<b>PAGE VIEWS</b>	<b>50,506,390</b>	<b>VISITORS</b>	<b>3,697,198</b>	<b>AVERAGE VISITORS / Hr</b>	<b>621</b>
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PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS						
		<p>For the past 12 months, the AJB website apart from public access has also shown a significant increase in activity. Statistics for the AJB Web site are:</p> <table border="1" data-bbox="979 516 1382 846"> <tr> <td>PAGE VIEWS*</td> <td>8,525,837</td> </tr> <tr> <td>VISITS</td> <td>2,408,532</td> </tr> <tr> <td>AVERAGE VISITORS PER HOUR</td> <td>435</td> </tr> </table> <p>The two most popular areas on the web-site are Defensive Driving and the Child Support Calculator.</p> <p>Following the redesign two years ago, changes and enhancements such as e-filing have been made.</p> <p>*Page Views are the new standard for measuring web activity. One page view will generate approximately 10 hits.</p>	PAGE VIEWS*	8,525,837	VISITS	2,408,532	AVERAGE VISITORS PER HOUR	435
PAGE VIEWS*	8,525,837							
VISITS	2,408,532							
AVERAGE VISITORS PER HOUR	435							
STATEWIDE AUTOMATION TRAINING	Provide training statewide for automation projects supported by the Supreme Court.	Seventy AZTEC classes were held, 8 new training documents were developed, and 45 existing documents were updated or modified.						
APPELLATE COURT AUTOMATION	Appellamtion is the state standard appellate case, calendaring, and financial management system, designed to replace three separate and incompatible systems previously used. The Supreme Court and the Court of Appeals Division One use Appellamtion.	<p>Implemented Appellamtion 5.5 which provided Case-Documents Browser customization improvements, enhanced OnBase support, expanded e-mail support, improved document management to more fully support attached documents, expanded document format support for e-filing, added more options for the e-filing Counsel, and improved the AZTurboCourt e-filing Ingestor to support the inclusion of additional metadata submitted to Appellamtion.</p> <p>Expanded electronic filing with AZTurboCourt in the Supreme Court and Court of Appeals, Division One, in support of mandatory e-filing for all attorneys. Began efforts to provide</p>						

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
		<p>mobile case and document management system access using tablet computers (iPads through Citrix).</p> <p>Redesigned the decisions web sites for opinions and memorandum decisions for the Supreme Court and the Court of Appeals, Division One, to additionally provide constitutional impact information and support retention election information through Judicial Performance Review (JPR).</p> <p>Prototyped Appellamation enhancements to streamline the ingestion and processing of financial data from e-filing transactions and manage the payment settlement process.</p>
CERTIFICATION & LICENSING	<p>CLD Online is an Internet application created for the AOC's Certification &amp; Licensing Division. It works in conjunction with CLD business applications to process certification renewals and fee payments via the Internet</p>	<p>Performed annual maintenance to online renewal application for defensive driving schools and instructors. Processed 152 online renewals, collecting \$21,700 in renewal fees.</p> <p>Performed annual maintenance to online renewal application for certified court reporters. Processed 345 online renewals, collecting \$139,400 in renewal fees.</p> <p>Performed annual maintenance to online renewal application for fiduciaries. Processed 199 online renewals (to date), collecting \$30,200 in renewal fees.</p>
CERTIFICATION & LICENSING	<p>Defensive Driving Tracking System</p>	<p>Replaced legacy Defensive Driving Tracking System, automating diversion fee receipting in court case management systems and bringing a host of improved functionality to both schools and courts.</p> <p>Moved application from the AS/400 platform to Microsoft SQL-based technology to comply with enterprise architecture targets.</p> <p>Eliminated dependence on VPN and FTP communications by basing the application on the Internet.</p>
SUPREME COURT OFFICE	<p>This project includes ongoing support of the Supreme Court's</p>	<p>Automation trainer position remains frozen and unfilled. Human Resources handled all new</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
AUTOMATION	and AOC's desktop.	employee orientations held during the year. Several other training sessions were held using AOC staff as well as outside vendors.
VARIOUS AOC INTERNAL ACCOUNTING, FINANCE AND PAYROLL APPLICATIONS	The AOC maintains budget, accounting, and personnel records for the AOC and the Supreme Court.	<p>Automated transfer of juvenile treatment invoice batch data to New World financial management system, eliminating manual data entry of over 5,000 transactions annually.</p> <p>Automated transfer of invoice data to the state accounting system, eliminating manual data entry of over 2,000 transactions monthly.</p> <p>Provided over 150 ad hoc reports to enhance the reporting functionality of the New World financial management system.</p> <p>Updated WETR online time reporting application to comply with the policies regulating the reporting and approval of time records on a weekly basis at AOC and Court of Appeals, Division One.</p>
AOC PROJECT MANAGEMENT OFFICE	The Project Management Office (PMO) provides best practices and oversees project-related processes with a goal of delivering automation improvements within scope, on time, and on budget.	<p>Upgraded enterprise project management software;</p> <p>Implemented new tactical and strategic planning model for project milestone and resource management planning, providing for a regular review of an enterprise-level project impact analysis;</p> <p>Improved project management process and instituted new project portfolio reporting necessary to obtain an integrated perspective of project management capability.</p> <p>Continued project 'circle' forums for on-going project management and team resource training. Provided additional oversight and processes for high profile, enterprise projects. Continued monthly, all-day planning meeting to coordinate project resources.</p>
NEW CASE MANAGEMENT SYSTEMS	Develop and implement new case management systems (CMSs) that replace AZTEC for general jurisdiction (GJ) and limited	Continued identifying and documenting comprehensive and detailed business requirements to submit to the vendor for technical design and development in AJACS.

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
	jurisdiction (LJ) courts.	<p>Finalized and documented the data conversion strategy, taking into account lessons learned from superior court implementations. Presented strategy to ~75 statewide LJ users during focus group meetings, AOC Executive Management, and Court Services.</p> <p>Began development of a conversion application to support the massive scale of the LJ AZTEC to AJACS data migration and implementation.</p> <p>Continued to set LJ AJACS system configurations, parameters and AVT table information.</p> <p>Began writing and running mission critical test scripts along with test scripts for all new business requirements.</p> <p>Worked extensively with potential LJ pilot court on AJACS testing and analysis; table code setup, data conversion, forms and reports and user training and documentation.</p> <p>Collaborated on gap analysis with representatives from large volume LJ courts to identify specific system functionality required by non-AZTEC courts in the state.</p> <p>Successfully launched the FARE Program for Superior Courts on AJACS in La Paz Superior Court.</p> <p>Designed, developed and deployed improved calendaring and scheduling functionality for Superior Courts in release 3.6.</p> <p>Fully tested and deployed the functionality for the ADRS interface with release 3.7.</p> <p>Coordinated acceptance testing, training, configuration, and deployment efforts for AJACS releases 3.5, 3.6, and 3.7. Began user acceptance testing of release 3.8.</p> <p>Completed full regression training by revisiting all 13 AJACS GJ courts.</p> <p>Created specifications for the Probation Interface between JOLTSaz and AJACS.</p> <p>Launched improved systems reports for AJACS to the field. Created specifications for CourTools reports. Developed and deployed</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
		<p>80 new merge codes for the AJACS forms.</p> <p>Began the AJACS GJ CMS Users Group to provide user input for AJACS enhancement and development.</p> <p>A total of 2062 reported issues were resolved during FY2012 with an average of 158 customer support calls each month.</p>
<b>EDMS</b>	<p>Electronic Document Management includes the processes and environment where documents are created, stored, managed, located, retrieved, and viewed electronically. Electronic documents and records replace traditional media (paper). Electronic documents are and will be used in the day-to-day business of the court, by court staff, other justice-related agencies and the public.</p>	<p>Facilitated upgrade of standalone OnBase systems to version 9.2 at multiple courts in order to enable electronic document transfer to central document repository.</p> <p>Successfully installed OnBase disconnected scanning functionality in 24 of 128 AZTEC courts, including all LJ Courts in Cochise County; some courts from Apache County, Coconino County, Gila County, La Paz County, Maricopa County; Pima County; Pinal County, Yavapai County, and Yuma County.</p> <p>Refined training and scanner hardware installation processes and procedures as additional courts implemented disconnected scanning. Decommissioned legacy DocuShare imaging system at the AOC</p>
<b>E-APPEAL</b>	<p>Enables courts to extract electronic documents from local OnBase EDMS, create an index of record, and transfer the complete electronic record on appeal package using the e-ROA XML standard. Transmission utilizes MQ Series on the court network, AJIN.</p>	<p>Enhanced software to support OnBase 11; auto-preview index before sending; and auto detect configuration switching from e-Appeal, Publishing, and OMEA modes.</p> <p>Extended e-Appeal to support transfer of current/pending cases from the Court of Appeals, Division One, to Division Two.</p>
<b>JUSTICE WEB INTERFACE (JWI)</b>	<p>A web portal solution that facilitates the querying of data across multiple source systems to provide users with a single view of information.</p>	<p>Fully implemented JWI environment in production. Successfully implemented Pre-trial and Adult Probation Services in 14 Arizona counties, apart from Maricopa.</p> <p>Upgraded the JWI hardware platform to improve response time and overall system performance.</p> <p>Provided day-to-day customer support to all</p>

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
		JWI users statewide.
MVD ELECTRONIC RETURNS	Enables courts to retrieve exception reports from Motor Vehicle Division online through an AOC-hosted website, eliminating paper reporting.	Provided access to all Arizona courts.
CENTRAL DOCUMENT REPOSITORY (CDR)	An enterprise-centric repository of court case-related documents collected from independent document management systems throughout the state in a federated approach.	Added security to prohibit 'sealed' or 'restricted' documents from being retrieved by the OASIS Electronic Court Filing (ECF) LegalXML 'GetDocument' call from AZTurboCourt to ensure compliance with Rule 123.
AZTURBOCOURT STATEWIDE ELECTRONIC FILING	A central online portal through which court users create and submit case filings to a growing set of Arizona courts.	<p>Enabled mandatory e-filing for all case types in the Arizona Supreme Court and Court of Appeals, Division One. In 2011, these courts processed 4,478 submissions that delivered 11,471 documents. Retired ACE, the pre-AZTurboCourt solution, on 12/9/2011.</p> <p>Implemented GJ Civil full e-filing pilot (statewide model) in the Superior Court in Pima County.</p> <p>Implemented LJ-Small Claims full e-filing pilot in four of the 25 Maricopa County Justice Courts. Expanded AZTurboCourt "Pay &amp; Print" functionality for Small Claims, Limited Civil, and Eviction Actions to the following justice courts: Cochise County, Gila County, Maricopa County, Mohave County, Pima County, and Pinal County.</p> <p>ITD's Customer Support Center handled more than 12,550 support calls from attorneys and private citizens regarding "Pay and Print," case initiation and subsequent filing activities.</p>
MERGE CODES	Merge codes enable AJACS courts to set up customized templates, form documents, and receipts to populate relevant case data directly from the AJACS database. Forms may be	Added 103 new merge code groups to AJACS GJ application, each containing 12 or 13 merge codes. The enhancement allows court users to access data items not available in previous releases, e.g., victim's attorney information, third party plaintiff and defendant

PROGRAM	DESCRIPTION	FY 2012 ACCOMPLISHMENTS
	<p>automatically generated by a triggering event or activity, such as the generation of a receipt upon making a case payment.</p>	<p>information, trustee information, fiduciary information, bride and groom information, etc.</p>

## LOCAL COURT ACCOMPLISHMENTS - CY2011

This is a summary of the accomplishments provided in each county-level IT plan that was updated during this planning cycle. In an effort to reduce workload and impact to court staff in the continuing poor economic climate, rural Superior Court Administrators have been allowed to provide updates every other year. Please refer to the most current individual plans in Appendix D for more detail.

<p><b>Apache Courts</b></p>	<ul style="list-style-type: none"> <li>• Implemented electronic transfer of record on appeal to Division One.</li> <li>• Successfully implemented continuity of operations plan during Wallow Fire emergency.</li> <li>• Completed relocation of probation staff and renovation of Round Valley Justice Court.</li> <li>• Installed ACAP computers on the bench for use by judicial officers.</li> <li>• Upgraded wireless network to meet enterprise architecture standards.</li> <li>• Established VPN connections to court and county networks for key personnel in Clerk’s Office.</li> </ul>
<p><b>Coconino Courts</b></p>	<ul style="list-style-type: none"> <li>• Implemented electronic transfer of record on appeal.</li> <li>• Completed conversion of microfiche format records to digital images.</li> <li>• Upgraded OnBase EDMS and synchronized document security with AJACS.</li> <li>• Began digitizing new juror supplemental questionnaires.</li> <li>• Began accepting online payments in two justice courts.</li> <li>• Successfully tested remote court reporter technical solution.</li> </ul>
<p><b>Gila Courts</b></p>	<ul style="list-style-type: none"> <li>• Implemented electronic sealed documents in superior court clerk’s office.</li> <li>• Equipped all superior court courtrooms with digital audio recording.</li> <li>• Participated in countywide strategic planning meeting.</li> <li>• Installed MAYSI-2 assessment software and provided access to detention medical report system at Juvenile Detention Center.</li> <li>• Separated Globe Regional Justice Court and Globe Municipal Court; implemented photo enforcement at Globe Muni; implemented Justice EZ Trac at Globe Justice Court.</li> <li>• Refreshed power backup unit in superior court computer room.</li> </ul>
<p><b>Maricopa Courts</b></p>	<ul style="list-style-type: none"> <li>• Began operation in Superior Court South Criminal Tower using state-of-the-art technology.</li> <li>• Began two-year pilot to automate search warrant issuance between superior court and City of Phoenix.</li> <li>• Provided numerous automated case management enhancements including increased integration between systems.</li> </ul>

	<ul style="list-style-type: none"> <li>• Clerk’s Office expanded virtual server environment and replaced all non-EDM funded servers.</li> <li>• Continued e-filing integration with AZTurboCourt, expanded electronic transfer of records on appeal.</li> <li>• Completed C2C program, enabling electronic transfer of index of record with images in cases on appeal.</li> <li>• Phoenix continued to devote numerous resources to case management system replacement, especially in the areas of person matching and sentencing, on behalf of large volume limited jurisdiction courts.</li> <li>• Numerous limited jurisdiction courts continued accepting payments online and expanded courtroom recording.</li> <li>• Mesa completed scanning of 1.2 million criminal cases, transitioned to a paper-on-demand environment, and began accepting e-citations. Work continued to transition from ACIST to AJACS.</li> <li>• Submitted consolidated IT strategic plan.</li> </ul>
<p><b>Pima Courts</b></p>	<ul style="list-style-type: none"> <li>• Relocated all Pre-Trial and Adult Probation downtown staff and upgraded wireless connection between Superior Court and West Probation Office.</li> <li>• Began pilot implementation of general jurisdiction civil e-filing application; deployed ancillary applications necessary to process e-filings in the Clerk’s Office.</li> <li>• Coordinated update of ARS Code Table application with county attorney and statewide agencies.</li> <li>• Completed acceptance testing of portions of JOLTSaz; nearly completed integration activities among AGAVE, JOLTSaz, and CAMMS, prepared for implementation of AZYAS with JOLTSaz.</li> <li>• PCCJC implemented a standalone OnBase EDMS and enhanced case information sharing as well as access to case data on public website.</li> <li>• Tucson accommodated change in e-citation vendor and upgrades of several prominent software applications. Began piloting Video Alternative to Jail program for streaming arraignments.</li> <li>• Smaller courts received training to use new county financial management system (PimaCore); expanded courtroom recording, videoconferencing, e-citation, and payments by phone and web.</li> <li>• Many courts made website improvements to increase level of service to constituents online.</li> </ul>
<p><b>Pinal Courts</b></p>	<ul style="list-style-type: none"> <li>• Completed dashboard and report management local application.</li> <li>• Created local application to facilitate obtaining obligations of case parties.</li> </ul>

	<ul style="list-style-type: none"> <li>• Revamped clerk of court front counter and scanning operations.</li> <li>• Improved fillable forms available on website.</li> <li>• Tripled network bandwidth at Florence and satellite clerk's offices, updated network switches.</li> </ul>
<b>Santa Cruz Courts</b>	<ul style="list-style-type: none"> <li>• Completed new county facilities and co-located departments in Nogales.</li> <li>• Provided judges with capability to conduct video initial appearance hearings.</li> <li>• Began transmitting record on appeal electronically.</li> <li>• Began contributing criminal minute entries to statewide system for public access.</li> <li>• Enabled keyless card entry for employee physical security in new buildings.</li> </ul>
<b>Yavapai Courts</b>	<ul style="list-style-type: none"> <li>• Implemented AJACS in superior court.</li> <li>• Made self-service forms as well as juror, passport, and marriage license information available on the clerk of court website.</li> <li>• Provided process for JAs to listen to live proceedings.</li> <li>• Moved past FTR recordings and court reporter notes to server.</li> <li>• Began digitizing Adult Probation documents and using various software programs and resources to assist officers in their duties.</li> <li>• Remodeled to increase physical security at Mayer Justice Court.</li> </ul>
<b>State Appellate Courts</b>	<ul style="list-style-type: none"> <li>• Installed state-standard EDMS, integrated with Appellamation, and trained users (Division One).</li> <li>• Completed statewide project to enable receipt of all documents in record on appeal electronically.</li> <li>• Provided development and operational support for mandatory e-filing Supreme Court and Division One.</li> <li>• Dramatically reduced number of physical servers through virtualization.</li> <li>• Implemented new CaseDocs program and expanded use of existing e-Filer at Division Two.</li> <li>• Tested various consumer devices and constructed iPad / Citrix environments for judges.</li> <li>• Held planning summit with leadership to identify key goals for next plan period.</li> </ul>

## VII. CURRENT ENVIRONMENT ANALYSIS

### HARDWARE ENVIRONMENT

The Arizona Judicial Branch has a diverse mix of hardware, reflecting the various projects and programs that have evolved over the years, as well as the diverse funding model that supports the courts. This diversity stems from new applications, either acquired and/or developed, in support of an increasing need to track, manage and report on judicial information. As we continue to evolve, the hardware implemented is of the newest architectures and technologies, designed to support the complexity of these applications and the large geographical area served by the Judicial Branch. At the local level, statewide ideals are subjected to the realities of local funding bodies' priorities, availability of grant funds, and differing funding cycles in play.

FY12 showed a slight reduction in the overall number of Windows 2003 legacy systems hosted in the Administrative Office of the Courts (AOC) Data Center. However, with the migration to newer hardware and operating systems, growth and new application requirements, the number of physical and virtual (VM) Windows-based systems being supported continues to increase. See Appendix A for current hardware and platform inventory numbers.

Several server environments are hosted at the AOC's Data Center:

- IBM AS/400s for JOLTS and general administrative operations of the Administrative Office of the Courts;
- IBM AIX systems for operating the ACAP courts, the appellate courts, Data Warehouse, Datamart and IBM MQ Messaging infrastructure;
- Windows servers for JWI, NewWorld, AJACS GJ, Adult Probation, AZYAS, OnBase EDMs, Internet, Intranet, e-mail, AZTurboCourt, Central Document Repository (CDR), SWID (Juvenile Statewide ID), BMC Incident and Change Management, system monitoring tools, Tax Intercept Program, desktop deployment, SQL Server Reporting Services, statewide remote on-line training, as well as file and print sharing. New applications due to be released into the Windows environment in FY13 include, at a minimum, JOLTSaz, and AJACS LJ CMS.

The desktop environment includes a variety of PCs. AOC/ITD, under COT's direction, has undertaken a four-year equipment leasing cycle which is designed to refresh desktop hardware regularly to ensure that it incorporates the technology needed to support the evolution of statewide applications and projects.

The following are standard PC models stockpiled in the previous refresh cycle currently being placed into service:

**Desktop:**

EW290AV hp Compaq Business Desktop dc5700 SFF, Intel Core 2 Duo 2.13GHz, 160 GB, 2 GB RAM, NIC (from remaining stock on hand)

**Laptop:**

LJ546UT HP EliteBook 8560p, Intel® Core™ i5-2520M (2.50 GHz, 3 MB L3 cache), 500 GB 7200 rpm SATA II, 4 GB 1333 MHz DDR3 SDRAM, NIC

**Printer:**

CE991A HP LaserJet Enterprise 600 Printer M602n

Note that hardware items listed in Appendix A are generally housed and supported centrally as a part of statewide or state-level projects. Individual courts often have additional hardware and/or software beyond these items. Equipment acquired and supported locally, as well as both ACAP- and JOLTS- supported desktop devices, are listed in the individual courts' IT Strategic Plans which are attached. Please refer to individual county court plans for additional specifics at the local level.

**SOFTWARE ENVIRONMENT**

There remains a persistent diversity of software throughout the courts. As the Judiciary moves to centralized support and standardization with a centralized Customer Support Center, the set of products used becomes increasingly standardized. However, industry trends being as fast paced as they are, and unlikely to slow down, there will always be a three-tiered software offering.

- On the first tier are the old or legacy applications.
- On the second tier are the standard applications which are stable and for which training and Support Center assistance is available. Word and Vista are both examples of that type of application.
- In the third tier are the pilot users of what will likely be the next version, release or product. The new statewide LJ CMS system is an example of a third-tier application.

The list of software products shown in Appendix B is divided into two categories.

The first category includes the products in use statewide in courts for which the Support Center provides assistance. There are many other products in use in the Superior, Justice and Municipal courts statewide, most often supported by the IT staff of the local court, city, or county government. At the state level, however, these are not supported and not included in the list.

The second category includes those products in use at the Supreme Court and the Administrative Office of the Courts.

# ARIZONA JUDICIAL BRANCH



## INFORMATION TECHNOLOGY STRATEGIC INITIATIVES

FOR FISCAL YEARS 2013-2015

## VIII. INFORMATION TECHNOLOGY STRATEGIC INITIATIVES

### ALIGNMENT

The Information Technology Strategic Initiatives are aligned with initiatives in *Justice 20/20: A Vision for the Future of the Arizona Judicial Branch 2010-2015*. This section provides information on each Information Technology Strategic Initiative and its alignment with business needs of the Judiciary.

#### The current IT strategic initiatives are:

1. Promote a Systemic Thinking Approach to Problem Solving with Technology
2. Provide Infrastructure Processes, and Procedures to Support Statewide Court Communication, Automation, and Integration
3. Enhance Information Security and Disaster Recovery Policies, Procedures, and Technology to Protect Statewide Court Technology-Related Assets
4. Standardize Processes and Solutions to Improve Efficiency and Effectiveness of Court Operations
5. Complete and Enhance Second-Generation Statewide Automation Projects
6. Improve Data Exchange and Communications with the Public, Other Criminal Justice Functions, and Outside Agencies
7. Digitize the Court Environment
8. Provide Divisions of the Administrative Office of the Courts with Automated Solutions to Meet Internal Goals and Objectives

Through first-generation automation efforts, the Arizona Judicial Branch has become dependent upon technology to facilitate its record keeping and communications activities. Information technology initiatives enable the Judiciary to better use dependable technologies and related processes to enhance and support their business needs.

An initiative to "Promote a Systemic Thinking Approach to Technological Solutions" was first introduced in the FY 2002-2004 plan. With the introduction of *Good to Great: A Strategic Agenda for Arizona's Courts 2005-2010*, this approach became even more important. Many initiatives continue to focus on long-term changes of business practices to improve public safety and service. The approach has always been supported, but as more and more interdependent projects are undertaken, it seems prudent to highlight this very important perspective. Its intent is to encourage both the business leaders and technologists to more thoroughly examine the impacts of their automation undertakings and to consider business process reengineering a key element in the process. When undertaking a project, technologists and their business leaders

need to balance the immediate need with the long-term impacts, recognizing the increasing interconnectedness of courts and justice partners.

The Judiciary depends on electronic communications via email, the Internet, and the Intranet (which resides on the Arizona Judicial Information Network) to communicate with each other, the public, and with other justice agencies. Therefore, enhancing and securing the infrastructure is critical to implementation of judicial strategic business projects. Information technology strategic goals encompass an approach; building a foundation through infrastructure, security, and statewide applications; integrating with justice partners, and constructing an information supply chain that ends with appropriate public access.

Establishing basic case and cash management systems, having common data definitions, standard codes, and consistent data recording practices in courts across the state supports the need of the Judiciary to gather, track, and analyze information. The information technology project to create a central data repository to provide for data analysis, for instance, is predicated on all courts' case and cash management data being in electronic form.

A more accessible court system is a focus of the Judiciary's strategic initiatives. Technology initiatives and their related projects support that with the introduction of electronic filing and electronic forms via the Internet. A focus on security, business continuity, and disaster recovery necessarily accompanies the courts' transition to an e-records environment as well. Construction is underway on central repositories to store copies of court documents geographically distant from the courts themselves.

An integrated justice system is also a priority. Given that there is a single court organization in the state versus multiple other agencies involved in law enforcement, the Branch is in a unique position to bring together the other functions to improve the manner in which justice is administered in the State of Arizona. Technology projects to participate in data exchanges and sharing of information with local and state agencies support this. And, of course, having a reliable and secure network is critical to such electronic sharing.

For ease of reference, the IT strategic initiatives aligned to meet the Judiciary's business needs have been numbered as follows:

- 1 – systemic thinking/approach
- 2 – provide a robust infrastructure
- 3 – enhance security and disaster recovery
- 4 – standardize processes and solutions
- 5 – complete 2<sup>nd</sup> generation automation
- 6 – improve data exchange and communications
- 7 – digitize the court environment
- 8 – provide administrative support

## Information Technology Strategic Initiatives Summary

The following sections detail each of the eight information technology strategic initiatives. The **Background** section includes a description of the initiative, its background, and the elements of the technology environment included in the initiative. The Strategic Alignment section aligns the initiatives with the Commission on Technology's strategic automation goals.

In the **Business Value** section, the benefits that will accrue to the Judiciary and to the general public are identified. They include such things as improved quality of case and cash management, enhancing access to the courts, and reducing or avoiding costs.

In the **Dependencies** section, other activities, projects and groups upon which achieving this initiative depend are listed. This section will highlight the relationship of the strategic projects to one another.

Finally, in the **Impacts** section, each strategic project associated with the initiative is identified.



## **PROMOTE A SYSTEMIC THINKING APPROACH TO PROBLEM SOLVING WITH TECHNOLOGY**

### **BACKGROUND**

The Judicial Branch is directing its efforts to “front-office” solutions, offering improved public access, internal and external integration, and better customer service. As we address such systems as jury, online courtrooms, e-filing, and justice integration, we must take a systemic approach. We are in danger of either not meeting the demand or building unique solutions for every problem or commitment, increasing both cost and complexity. We can respond with a piecemeal, reactive approach or we can:

- Understand and Automate the Supply Chain
- Understand and Automate Judicial Business Process

The supply chain is made up of all our business partners, including law enforcement and prosecuting attorneys. If the judiciary doesn’t respond in an organized fashion, it could use ineffective or incompatible tools and approaches to address interdependence, integration and other process challenges. For instance, supporting multiple processes, protocols, and systems in our integration with other agencies, especially criminal justice agencies, will increase both complexity and cost.

The solution is to:

- Acknowledge process interdependence as the guiding principle for judicial planning.
- Study, document, and then automate the judicial system supply chain in a uniform manner.
- Build an infrastructure for integration of information among courts and between courts and other agencies.
- Identify a “best practices” approach to judicial business processes, then document and automate them.

## STRATEGIC ALIGNMENT

<b>STRATEGIC INITIATIVE 1: SYSTEMIC THINKING/APPROACH</b>	
<b>ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</b>	
• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.	<b>X</b>
• Improve information access and communication from and to the judicial functions.	<b>X</b>
• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.	<b>X</b>

## BUSINESS VALUE

- Improved responsiveness and productivity of court staff.
- Reduced risks in and complexity of systems development by reducing the number of process, systems, and protocols/standards requiring support.
- Improved overall quality of processes by using a “best practices” approach.
- Improved rural court productivity by providing them with the same level of processes supported by technology afforded to large, metropolitan courts.
- Reduced costs of resources by centralizing and eliminating, where feasible, duplicate procedures, forms, processes, and structures.
- Reduced training and support resources by standardizing the processes and procedures as well as the applications software, systems software, and hardware deployed to support them.

## DEPENDENCIES

All strategic projects are dependent on this initiative. The systemic thinking approach should and will be applied to projects. An analysis and documentation of the supply chain, as well as the underlying business process, will assure that a technology implementation is supporting a “best practices” solution.

## IMPACTS

The impact is widespread. Each IT project should implement a solution that is not just “paving a cow path.” As interdependency increases, projects must also consider impacts on other systems and on business processes. This includes secondary impacts outside the immediate sphere of the project, potentially including other agencies. The judiciary must now examine the entire context, since technology has changed the environment. Solutions must be designed with the understanding that there may be new and better ways of doing business using the new tools.

This initiative has an impact on all IT projects.



## **PROVIDE INFRASTRUCTURE THAT FACILITATES EFFECTIVE COMMUNICATION AND INTEGRATION**

### **BACKGROUND**

The Judiciary has been deploying and supporting automation statewide since 1990. A sophisticated and extensive infrastructure is required to support this effort. Most important to communication and coordination is a network connecting courts to one another and to the Supreme Court. There are two divisions of the Court of Appeals, 15 Superior Court locations, 78 Justice of the Peace Courts, and 83 Municipal Courts. There are over 384 judges and more than 9,600 employees of the Judiciary statewide.

The Arizona Judicial Information Network (AJIN) is a dedicated DS-1 MPLS and Ethernet network extending to all courts as well as standalone probation and detention sites statewide. As the demand increases for functionality such as electronic document management systems, interactive Web-based training, videoconferencing, disaster recovery hot sites, and information sharing among courts and agencies, the network must correspondingly increase throughput and flexibility. The Judiciary has responsibility for the expansion, enhancement, and maintenance of the network to meet bandwidth requirements, and for working with communications providers to assure uninterrupted system availability.

A centralized customer service center staffed by specialists in desktop software, court applications software, and desktop hardware fields all help calls from sites. It uses problem and change tracking software as well as call tracking software. The scope of operations has been expanded from support of the AZTEC statewide case management and financials application only to include all statewide automation products. This effort is critical to maintaining on-going operations in each Arizona court and probation department site.

First-level support assists court personnel statewide in resolving problems. Second-level technical support personnel install and upgrade systems and respond to critical systems problems. They also proactively maintain equipment for over 1500 users statewide. While it is most desirable to have onsite or regional technical personnel to provide the most immediate and timely support, deployment of dedicated AOC field support personnel remains cost prohibitive. Deployment of a distributed systems management system was undertaken in FY 2004 to reduce field support travel requirements. The Altiris software enables a technician located in Phoenix to remotely manage court PCs throughout the state.

In FY 2001, the centralized support center and second-level support functions were combined to form ITD Central Support Services. Second-level support personnel were cross-trained in the statewide applications in order to address more than one application during a site visit. This move was intended to improve assistance response time, reduce field support costs, and bring about a more systemic perspective among support personnel.

To support training needs statewide, a local automation trainer/business analyst continues to be funded. State funding matches local contributions to create this position, which provides training on centralized automation systems and “best practice” court processes. The position addresses training of new employees, introduction of new processes, new court software release training support, and generally works with centralized state trainers to support uniformity and quality in court processing statewide. This program has been very successful in past years and will receive continued funding through FY 2013 as the new general jurisdiction case management system continues widespread use. The position will also be key to rolling out the limited jurisdiction case management system in a timely fashion.

Historically, not all rural counties have been able to take advantage of the trainer positions, due to local funding constraints. AOC Court Services Division obtained permission from COT to reallocate some funding to address the needs of counties that have never been able to afford the field trainer for which state-matching funds had been reserved. This resulted in increased coverage by field trainers to underserved counties.

## STRATEGIC ALIGNMENT

<b>STRATEGIC INITIATIVE 2: INFRASTRUCTURE</b>	
<b>ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</b>	
<ul style="list-style-type: none"><li>• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.</li></ul>	<b>X</b>
<ul style="list-style-type: none"><li>• Improve information access and communication from and to the judicial functions.</li></ul>	<b>X</b>
<ul style="list-style-type: none"><li>• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.</li></ul>	

## BUSINESS VALUE

This strategic initiative will create, extend, and support an infrastructure that provides business value to statewide activities, involving the network, centralized help desk support, field support, equipment, and distributed system management. The benefits or business values for each area will allow:

### **NETWORK**

- Improved rural court productivity by providing the same level of technology afforded the large metropolitan courts. Improved customer service by providing higher quality of data and case management and greater public access to information.
- Improved, more secure access to the Internet for rural courts with improved throughput.
- Improved centralized access to information, such as criminal history, orders of protection, domestic violence, etc., for law enforcement.
- Improved electronic integration with the legal community and other justice-related departments and agencies.
- Improved responsiveness and productivity of court staff.
- Reduced risks in and complexity of systems development by reducing the number of systems and protocols/standards needing support.
- Reduced reliance on local vendors.
- Improved openness and interoperability of judicial systems with outside agencies.

### ***CENTRALIZED HELP DESK***

- Improved overall quality of systems by devoting limited resources to fewer of them.
- Improved rural court productivity by providing them with the same level of technology afforded the large metropolitan courts.
- Reduced costs of resources by centralizing and eliminating, where feasible, duplicate support structures.
- Reduced training and support resources required by standardizing the applications software, systems software, and hardware deployed.

### ***FIELD SUPPORT***

- Improved responsiveness and productivity of court staff.
- Improved rural court productivity by providing the same level of technology as in the large metropolitan courts.
- Reduced training and support resources required by standardizing the applications software, systems software, and hardware deployed.
- Increased efficiency, accuracy, and effectiveness of support by developing and documenting processes and procedures.
- Reduced costs of resources by centralizing and eliminating duplicate support structures.
- Improved breadth of knowledge and quality of support staff.

### ***IT EQUIPMENT UPGRADES***

- Improved rural court productivity by providing the same level of technology afforded to large metropolitan courts.
- Reduced risks in and complexity of systems development by reducing the number of systems and protocols/standards requiring support.
- Reduced cost of maintenance by routine enhancements, upgrades, and replacements as well as preventative maintenance.
- Improved power consumption/energy efficiency and reduced carbon footprint.

### ***DISTRIBUTED SYSTEM MANAGEMENT***

- Increased effectiveness of support by automating tracking, distribution, and other routine tasks.
- Increased system availability.
- Improved responsiveness and quality of support staff customer service.
- Reduced travel-related costs for support.

## DEPENDENCIES

- Continued availability and enhancement of high-speed communications statewide (as courts continue to consume more bandwidth).
- Continued funding availability for field training positions.
- Effective use of remote PC management software in the Windows Vista environment and new applications.
- Continued refresh of PC hardware, operating systems, and software in the field on a regular cycle.

## IMPACTS

The infrastructure, along with the applications deployed on state-supported hardware and software throughout Arizona, provides the processing and communications foundation on which the remaining initiatives are built. Such initiatives and projects as justice agency integration, public access, electronic filing, and improved statistical reporting for accountability rely on a robust and well-supported infrastructure.

Nearly all the IT projects are impacted by and aligned with this initiative.



## **ENHANCE SECURITY & DISASTER RECOVERY TO PROTECT COURT TECHNOLOGY-RELATED ASSETS**

### **BACKGROUND**

The digital world is becoming ever more perilous as computer systems become increasingly interconnected. With the creation of AJIN, the deployment of the centralized JOLTS juvenile tracking system, and the development of the AZTEC case management system using client server architecture, the Judicial Branch accepted the major responsibility of safeguarding the data and infrastructure on which courts statewide rely. An information security specialist developed the specific strategies, standards, and policies to achieve this goal.

Taking a purely central approach to addressing data security has become insufficient over time as an increasingly decentralized environment is constructed. For example, Electronic Document Management and Criminal Justice Data Integration projects present increased requirements for data security at the local level as statewide processes grow dependent on feeds from courts. Unfortunately, local courts typically have neither the money nor the equipment to ensure continuation of their business in a disaster. What used to be their isolated risk has graduated to a system-wide risk, as courts become increasingly process dependent on electronic documents and more data gets captured at the source. The Administrative Office of the Courts is working with the Department of Public Safety to address data security issues related to criminal justice data. Several committees, most notably the Court's Keeping the Record Committee, have been addressing a variety of electronic recordkeeping issues. The Clerks of Court, as the constitutionally designated keepers of the record, are also involved in various workgroups to develop appropriate standards and processes to provide for secure and reliable electronic data and documents.

COT continues to recognize an increasingly long list of vulnerabilities for courts. Two standing subcommittees of the Commission, CACC and TAC, have been charged with crafting best practices, related procedures, and training sessions to improve the survivability of data at the local courthouse. A business continuity matrix was approved for distribution with the FY 2008 IT planning materials and subsequently became the

tool for recording efforts by the general jurisdiction case management system team to quantify local risks and dependencies on statewide systems as part of their pre-implementation efforts. Results of the data gathering effort represented by the matrix are quantifying the business risks courts face and providing perspective on the costs to address those risks. An assessment and planning guide of some sort is also envisioned. In addition, CACC and TAC were directed to examine a variety of options and related costs for protecting data in a distributed environment, and then return to COT with their joint recommendations for financially feasible solutions.

Malicious Web content, viruses, and phishing have given way to much more sophisticated attacks that bypass traditional perimeter defenses. Botnet thievery of credentials, SQL injection attacks, and cross-site scripting are only a few of the new threats. Various high priority projects and tasks must be accomplished over the coming years to assure the courts' network and assets remain protected. An example is applying port security on routers to enable more rapid discovery of unauthorized devices and containment of malicious content entering the network from remote points, as more employees' personal devices begin to make their way onto AJIN.

Section K of A.R.S. § 44-7501, "Notification of Breach of Security System," mandates that courts create and maintain an information security policy that includes notification procedures for a breach of the security system of the court. "Breach" means an unauthorized acquisition of and access to unencrypted or unredacted computerized data that materially compromises the security or confidentiality of personal information likely to cause substantial economic loss to an individual. The scope of personal identification covers two main areas:

1. An individual's first name or first initial and last name in combination with a
  - social security number,
  - driver license number, or
  - non-operating identification license number.
2. An individual's financial account number, credit card number, or debit card number in combination with any required security code, access code or password that would permit access to the individual's financial account.

In response, the chief justice issued Administrative Order (AO) 2008-68 to instruct courts on the minimum content of a local policy that complies with the legislation.

## STRATEGIC ALIGNMENT

<b>STRATEGIC INITIATIVE 3: ENHANCE SECURITY AND DISASTER RECOVERY ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</b>	
• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.	<b>X</b>
• Improve information access and communication from and to the judicial functions.	<b>X</b>
• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.	<b>X</b>

## BUSINESS VALUE

Better protect courts' technology-related assets to reduce the risk of losing court assets or breaching data privacy requirements. Minimize disruption of business or loss of electronic records in the event of a local court disaster.

## DEPENDENCIES

### *SECURITY*

- Continued security/disaster recovery of centralized systems and data.
- Cooperative solutions with local governments when developing standards for local data and business continuity actions.
- Layers of security on image and e-record management systems to appropriately protect information and the court record.

### *PRIVACY*

- Rule 123 and legislation-compliant solutions for use with EDMS, CMS, and public access projects.
- Trustworthy redaction techniques for electronic information.

## IMPACTS

If not successful, disruption of court business operations will occur, as well as loss of valuable court data and documents. Personal and confidential data, protected by Rule 123, might be available for public view as a result of missing or insufficient controls.

A data breach would prompt initiation of a costly investigation and trust-eroding public notification process.

Projects affected include:

- Business Continuity
- AJACS (LJ CMS) Development/Rollout
- LJ Electronic Document Management
- Public Access to Case Information and Documents



## **STANDARDIZE PROCESSES AND SOLUTIONS TO IMPROVE EFFICIENCY AND EFFECTIVENESS**

### **BACKGROUND**

As courts enter the realm of e-government and e-records, the importance of having enterprise architecture (EA) and related technology standards cannot be emphasized enough. Around 80 percent of new technology companies go out of business within 5 years of their formation. IT trade publications continue to hype expensive new approaches to age-old business problems every day. The pace of change increases at an exponential rate. New technologies are always accompanied by risks. Courts that make the wrong decisions about technology often find themselves relying on unsupported applications for their day-to-day work, sometimes for many years, an uncomfortable and expensive place to be.

A need exists for a set of cohesive standards to build to that promotes both reuse and sharing of automation systems across many jurisdictions. EA functions as a type of building code across the entire organization, describing a direction for current and future technology activities, supported by underlying product and integration standards that mitigate risk for courts. It acknowledges the interdependence of courts within the supply chain of data as well as the distributed nature of the court system and helps them maximize local investments by selecting products that interoperate, promoting data sharing and citizen access through e-government. EA focuses on the holistic impact to the organization.

EA effectively supports and enhances the business of government and improves the ability to deliver responsive, cost-effective government functions and services. Effective utilization of technology to achieve business functions and services, increasing citizen access to those services, sharing information and resources at all levels of government, and maximizing investment in IT resources are major motivating factors for the development and implementation of EA. Using technologies and products adhering to the “building code” enhances government services as a whole, promotes e-government solutions, improves productivity and performance, and optimizes economies of scale through interoperability, portability, scalability, and the sharing of resources. Standard

solutions also eliminate the need to make redundant contracts and purchases. They reduce implementation and support costs by limiting the range of solutions to a manageable few.

All technologies traverse a practical and functional life cycle from emerging to mainstream then, over time, to unsupported and eventually to obsolete. To provide direction regarding the life cycle categories for common court technologies, the Technical Advisory Council maintains a detailed table of EA standards for the branch. The Judicial Project Investment Justification (JPIJ) requires an explanation of the adherence of any new project to the standards. The annual IT plan project detail input sheet requires the same. The table was enhanced in late FY 2006 to include a designation of the lifecycle category associated with listed products and technologies: Watchlist, Mainstream, Containment, or Retirement.

COT has designated that all items labeled “retirement” have a replacement strategy identified in the annual IT plan for the courts where they are installed. WordPerfect is an example. For reference, the approved table resides at <http://www.azcourts.gov/cot/EnterpriseArchitectureStandards.aspx>. Any court can request that TAC consider a new standard for addition to the table at any time. There is also an exception process a court may use to request a business-related, one-time waiver to a particular standard.

In addition to general standards contained in the EA standards table, like GJXDM, more specific, pragmatic direction is needed in relation to various projects. A subset of a standard is sometimes necessary to provide direction to court developers. An example is specific XML tags used to communicate specific types of information or transactions. In those instances, COT has directed TAC to establish and maintain detailed specifications for various functions or levels of court within the framework of the approved standards. Issues related to specifications may be brought to COT for resolution, if necessary.

Specifications developed so far relate to e-filing civil cases and court-to-court record on appeal. Originally based on the Maricopa multi-vendor model, the civil case e-filing specification defines a common tagging scheme that complies with ECF 4.0, an industry standard for e-filing. The record on appeal specification defines tags necessary to electronically transfer a record on appeal, including the index of record, from a trial court to an appellate court, and from one appellate court to the next appellate court. Criminal standards are also being set in conjunction with ACJC and criminal justice partners. A specification for reporting defensive driving school registrations and completions has also been ratified in support of the recent central clearinghouse project.

## STRATEGIC ALIGNMENT

<b>STRATEGIC INITIATIVE 4: STANDARDIZE PROCESS AND SOLUTIONS</b>	
<b>ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</b>	
• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.	<b>X</b>
• Improve information access and communication from and to the judicial functions.	<b>X</b>
• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.	<b>X</b>

## BUSINESS VALUE

### **ENTERPRISE ARCHITECTURE**

- Reduced risks in and complexity of systems development by reducing the number of systems and protocols/standards requiring support.
- Reduced training and support resources required by standardizing the applications software, systems software, and hardware deployed.
- Improved rural court productivity by providing them with the same level of technology afforded the large metropolitan courts.
- Improved responsiveness and productivity of court staff.

### **STANDARDS**

- Mitigated project risks, increased project success, and increased interoperability and sharing of information and resources.
- Improved responsiveness and productivity of court staff.
- Improved rural court productivity by providing them with the same level of technology afforded the large metropolitan courts.
- Improved quality of support staff customer service.

### ***DETAILED SPECIFICATIONS***

- Improved specific direction on application of standards to developers.
- Enablement of interoperability of component-based systems whether developed in courts or by vendors.

### **DEPENDENCIES**

- Continued definition, maintenance, and communication of EA Standards.
- Most priority projects are either dependent upon or will significantly benefit from the application of standards and related, detailed specifications.
- Every exception approved puts a chink in the armor of a cohesive, statewide, integrated system.

### **IMPACTS**

Every project needs to be closely aligned to this strategic initiative. Courts having items listed in the “Retirement” column of the EA Standards Table must identify a replacement strategy in their next IT plan submittal.



## **COMPLETE AND ENHANCE SECOND-GENERATION STATEWIDE AUTOMATION PROJECTS**

### **BACKGROUND**

The courts embarked on the first wave of statewide automation around 1990 with a goal of implementing a standard case and financial management system to replace manual processes. A juvenile probation system was expanded from Maricopa County to statewide use by the mid-1990s. The AZTEC case management system was deployed to 147 courts by the end of the decade. The hallmark of first-wave automation systems was their standalone approach, targeting specific high volume areas and incidentally replicating functions of other automation products, e.g., JOLTS and AZTEC both did calendaring, case management, and financials, only for two different populations. They were constructed for a specific level of court absent any overarching direction from branch technology or integration standards and so took on a closed, proprietary flavor, necessitating a back-end data warehouse to accomplish any integration. Sadly, these systems typically only increased the workload of the court, in the end, as personnel entered data into multiple systems in addition to wielding the paper. The systems did not align well with court business practices, being encyclopedic rather than workflow process based.

The second wave of automation is component based and focused on re-use of building blocks that can be modified and flexed across various systems. Doing so requires clear standards in both technology and business processes. The systems are designed from the standpoint of innovation more than generation; most data courts work with comes from somewhere else. The court acts as a hub of information more than an originator. Second-generation systems pick up information from law enforcement and attorneys' systems, reducing workload by moving the responsibility for input to the source to get the clerk out of the data entry business. New systems contain workflow right out of the box, providing an inherent standard business process, removing the need for understanding the entire process before being able to perform any part of it. They also are exception based, triggering alerts whenever items fall outside specified parameters. The Judiciary has several second-generation statewide automation projects underway and completing them remains a top priority. They provide for probation, case, and cash

management for the various levels and/or departments within the Judiciary, using shared core services that leverage development efforts following standards.

Meanwhile, support and enhancement of existing statewide applications remain a priority, though balanced against the remaining life of the application being enhanced. The Arizona Court Automation Project (ACAP) continues to provide automation to Justice and Municipal courts. During FY 2000, the Windows version of the AZTEC case management software was implemented in most rural and suburban courts. During FY 2002, a rollout replacement of equipment and a software upgrade was begun for systems deployed in 2000. The next phase significantly enhanced the application in the financial arena and enabled its use in the large metropolitan courts by increasing its case processing capacity. In FY 2006, AZTEC began to be opened to allow e-citation and red light case initiation using an XML data stream, paving the way for electronic case filing while awaiting implementation of a next-generation case management system. Late in FY 2007, COT decided, and AJC concurred, to pursue implementation of a vendor CMS for general jurisdiction courts. Following successful implementation of that CMS in 13 superior courts, development work is presently underway on enhancements for limited jurisdiction courts around the state currently using AZTEC. Further development is being undertaken for the largest non-AZTEC courts based on requirements detailed by Mesa Municipal Court. Implementation of the finished system will standardize and significantly improve the efficiency of all limited jurisdiction courts in the state.

The Criminal Justice Data Integration Project will also significantly reduce levels of court effort by eventually eliminating the redundant data entry now being performed. By 2004, the Judiciary had 64 Arizona general and limited jurisdiction courts operating on the ACAP software solution to pass criminal history data to DPS. Data integration will be further strengthened with the rollout of new limited and general case management system statewide as well as the construction of the Arizona Disposition Reporting System in conjunction with ACJC and DPS. This project proves the concept of using an enterprise service bus approach for statewide integration by connecting disparate information systems among justice partners.

Appellamation is an appellate court case management system developed for the Supreme Court and both divisions of the Court of Appeals. This system, which uses unique appellate information architecture dissimilar to the AZTEC database, is being integrated with both AZTEC and the AJACS CMS to accept transfers of case information on appeal using the e-ROA program. The Supreme Court and the Court of Appeals, Division 1, have implemented Appellamation.

The Juvenile Online Tracking System (JOLTS) provides for the automation needs of the juvenile justice community. The first statewide system implemented, the JOLTS statewide juvenile probation caseload management system developed in Maricopa County Superior Court in 1979 is being replaced by a second-generation system in both Maricopa and the other counties. In May 2004, the Administrative Office of the Courts received permission from the Information Technology Authorization Committee (ITAC)

to proceed with development using the new statewide judicial architecture. JOLTS users number approximately 2,600 statewide and include the following agencies: Juvenile Court Centers, Victim Rights Advocates, County Attorneys, Court Appointed Special Advocates (CASA), Public Defenders, Foster Care Review Board (FCRB), Attorney General's Office, Department of Economic Security, and Clerk of the Court, ComCare, Court Administration, Department of Juvenile Corrections and Adult Probation Departments.

The effort to automate and enhance adult probation tracking functions statewide passed a key milestone in 2006, with implementation of the Adult Probation Enterprise Tracking System (APETS) in the final four counties. All data statewide now resides on a single database – over 350,000 client records and 17.5 million contact records. Periodic enhancements to the software, support, and user training continue, including fundamental programming changes to support a business process change to evidence-based practices (EBP) within the plan period.

Fourteen of the fifteen superior courts use a common jury processing software package. Maricopa Superior Court, formerly operating on an internally developed system, migrated to an off-the-shelf system several years ago, based on their large volume needs as well as extended functionality requirements (like Web and IVR interfaces for the public). The judiciary undertook a study to determine the direction for jury processing software and functionality. That work group reviewed the migration path of the existing software in fourteen courts and determined to remain with that software rather than convert to the package selected by Maricopa. Recent upgrades to that system have enabled a more responsive and interactive interface to the public for jury processing via the Internet as directed by the Commission on Technology.

Related centralized data repositories, processing and/or standards for second-generation systems include electronic document management systems, electronic filing, collections, legal research/legal portal, data sharing and integration processing, self-service center court forms, authentication and security, and global directories. The COT's ad hoc committee on centralized processing reviewed these issues during FY 2003 and provided recommended criteria to electing the degree and type of centralization for many common court automation functions.

## STRATEGIC ALIGNMENT

<b>STRATEGIC INITIATIVE 5: SECOND-GENERATION STATEWIDE AUTOMATION ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</b>	
• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.	<b>X</b>
• Improve information access and communication from and to the judicial functions.	<b>X</b>
• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.	<b>X</b>

## BUSINESS VALUE

- Improved effectiveness of the Criminal Justice System through the electronic exchange of court data and documents and the provision of decision-making information to criminal justice administrators.
- Improved rural court productivity by providing the same level of technology afforded the large metropolitan courts.
- Improved consistency in record keeping and case management practices statewide.
- Improved customer service by providing higher quality of data and case management and greater public access to information.
- Improved responsiveness and productivity of court staff.
- Increased productivity of court and support staffs.
- Reduced development costs by reducing the number of systems implemented and supported statewide.
- Reduced maintenance and enhancement costs by reducing the number of systems implemented and supported statewide.
- Reduced cost impact of legislative and judicial administrative changes to processes and procedures requiring changes to application software.
- Reduced training and support resources required by standardizing the applications software, systems software, and hardware deployed.
- Reduced cost of maintenance by routine enhancements, upgrades, and replacements as well as preventative maintenance.

## DEPENDENCIES

- The maintenance and continued upgrading of the computing and communications infrastructure.
- Sufficient resources to complete current development and implementation efforts for limited jurisdiction courts while functionality of the general jurisdiction system is extended and enhanced.
- AOC/vendor modifications to provide a limited jurisdiction statewide system that shares the codeset of the general jurisdiction system.
- Staff resources to perform statewide system development and implementations while still providing legacy support for case and probation management systems statewide.
- The establishment of a cross-branch policy and governance structure for the development of the Criminal Justice Data Integration Project.
- Sufficient resources to create and support new central repositories of electronic documents in support of statewide electronic case filing.

## IMPACTS

With several statewide systems all being replaced at nearly the same time, the financial impact is unprecedented. The problem has now been compounded over several years as the planned funding for the initiatives got interrupted by multiple reallocations of JCEF (a state-level automation funding source) by the legislature. There is no longer any certainty that sufficient funds will exist to complete the statewide implementations of these vital, second-generation systems.

Court business processes will be affected by the workflow and document processing capabilities built into the new systems, resulting in much greater efficiencies in data entry and reporting. Integration points built into new automation systems will accept digital input from other systems and electronic filings, thereby precluding clerks from having to re-enter data from other sources.

Projects include:

- New Limited Jurisdiction Case Management System Development, Pilot, and Rollout
- JOLTSaz Statewide Rollout
- Electronic Case Filing
- Public Access to Case Information and Documents



## **IMPROVE DATA EXCHANGE, COMMUNICATIONS, AND PUBLIC ACCESS**

### **BACKGROUND**

The Judiciary provides electronic access to court information via the Internet and uses messaging middleware in order to serve the public better, contribute to the improved effectiveness of the criminal justice system, and make courts more accessible. Information includes general information, case information, and court calendars. Additionally, we continue to foster development of electronic data interchanges between criminal justice agencies and work toward electronic filing for both the legal community and self-represented litigants.

During Fiscal Year 2002, the Judiciary launched its Public Access Case Look-Up Web site. Using the service, the public can access case information with a 24-hour currency by case number or party name. This offering was an immediate and enormous success; in only the first five months of operation (February through June 2002), the site had over 12 million queries. Last year, it had almost 51 million queries by over 3.7 million visitors.

The Judicial Branch recognizes and supports the need for improved operational effectiveness of the criminal justice system as a whole. Each criminal justice function must improve not only within itself but also in concert with the other criminal justice agencies. Given that a single court organization exists in the state versus multiple other agencies involved in law enforcement, the Branch is in a unique position to bring together the other functions to improve the manner in which justice is administered in the State of Arizona. The courts, being central to the system, are eager to collaborate in the statewide effort that began in Coconino County in Fiscal Year 2000 to automate the exchange of data used by more than one criminal justice agency. The original project linking the AZTEC CMS application for the Superior Court in Coconino County and the Coconino County Attorney Case Management System continues to be expanded. Having created the Integration System Model, which was made available to the remaining Arizona counties, AZTEC's ability to collect integration-related data has

been expanded to accept an XML data stream. Integration functions using XML interfaces will also be performed “out of the box” by the new, second-generation CMSs.

A recent project provided law enforcement and the public with access to a repository of domestic violence information. That information is currently being standardized nationwide as part of Project Passport, headed by the National Center for State Courts (NCSC), allowing protective orders to travel from state to state with easy recognition for law enforcement. More general availability will be subject to the policies contained in the updated Rule 123 that responds to privacy concerns expressed by victims groups.

Another data sharing project is electronic disposition reporting. This project provides for electronically sending criminal case dispositions to the Department of Public Safety via a messaging system. In pilot during Fiscal Year 2002, the system development was completed in 2003. Since 2004, 67 courts have been able to electronically report dispositions to the state’s criminal history repository. In concert with ACJC and DPS, AOC is taking the next incremental step in creating an electronic workflow among justice partners using enterprise service bus (ESB) architecture for exchanging criminal information prior to its inclusion in the DPS criminal data repository. The enterprise service bus acts as a clearinghouse for information independent from the systems that provide or consume its data. This approach will increase the ultimate acceptance rate for data at DPS to above 90 percent and ensure that justice partners are processing the right charges for the right suspect. DPS has re-written the application to port it to their standard software environment and AOC continues to manage the AJACS case management system interface.

The disposition-reporting project has proven the enterprise service bus concept, defined as the transaction services layer of the courts’ enterprise-wide technical architecture. Other integration projects will ultimately make use of the same ESB architecture, since it precludes creation of a single, all-encompassing automation system (and the associated massive price tag) or the coordination of myriad reprogramming projects to align legacy systems’ processing. The ESB focuses only on the output and input rather than the inner workings of the systems themselves, an approach which approximates a basic service-oriented architecture to revolutionize criminal justice integration. The approach can accomplish in a short time what would take a generation of traditional programming. AOC continues traversing an ESB strategic roadmap that winds through standards, policies, processes, and procedures to foster data exchange among justice partners and to direct future access to Arizona justice data.

For more than 5 years, the Supreme Court has been broadcasting oral arguments from the courtroom around the world in real time. No special software is required to view the live audio/video footage from the Court’s website and archived proceedings remain available long after the court date.

The Judicial Branch also recognizes that the public will be better served by improving operational effectiveness with outside non-judicial entities. Technology can enable this objective. For example, with the implementation of expedited family court processes,

the expanded use of electronic data exchange will support speedier and more accurate processing of these cases by facilitating communication among the various state, local, and judicial entities involved.

**STRATEGIC ALIGNMENT**

<b>STRATEGIC INITIATIVE 6: IMPROVE PUBLIC AND AGENCY ACCESS</b> <small>ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</small>	
<ul style="list-style-type: none"> <li>• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.</li> </ul>	X
<ul style="list-style-type: none"> <li>• Improve information access and communication from and to the judicial functions.</li> </ul>	X
<ul style="list-style-type: none"> <li>• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.</li> </ul>	X

**BUSINESS VALUE**

- Improved effectiveness of the criminal justice system through the electronic exchange of court data and documents and the provision of decision-making information to criminal justice administrators.
- Improved consistency in record keeping and case management practices statewide.
- Improved customer service by providing higher quality of data and case management and greater public access to case-related information.
- Improved protection for domestic violence victims even in other states through automation of protective orders with Project Passport.
- Improved public safety through improved centralized access to information, such as criminal history, orders of protection, domestic violence records, etc., for law enforcement.
- Improved quality and quantity of data available to the AOC for analysis and research.
- Improved electronic integration with the legal community and other justice-related departments and agencies.

- Improved quality of service to the public by providing other government agencies, such as DES and DOR, with more accessible electronic information to improve and support their processes.
- Increased overall accuracy and timeliness, reduction of processing backlogs and database completeness.
- Increased transparency and public access to the Supreme Court’s rulemaking process and oral arguments.

### DEPENDENCIES

- The Enterprise Service Bus for the Arizona Disposition Reporting System (ADRS) and other data exchange applications.
- Continued development and support of a technical architecture enabling statewide data integration.
- Acquisition of resources to continue developing pilot data sharing projects designed to make use of the integration infrastructure architecture.
- Upgrade / replacement of the judicial data warehouse, JUSTIS.
- Cooperation of state and local agencies, especially law enforcement.
- With state and local agencies, development of mutually agreed-upon security policies and procedures.
- Coordinated change management to assure that interdependent infrastructures continue to function together.
- Replacement of “ink and roll” fingerprinting with LiveScan throughout the state.
- Installation of videoconference equipment in courtrooms of rural superior courts.
- Sufficient network bandwidth to carry increased video and data integration traffic.
- Continued capabilities of the Supreme Court’s video streaming outsource partner and network to carry live video.

### IMPACTS

With the Judiciary focusing on “front office” functionality, public and agency access becomes a primary concern for every project. Development projects will need to incorporate information and functionality to address this initiative. For instance, in the domestic violence repository, it required that AZTEC add certain information not collected at the time in order to fulfill the electronic reporting requirements as well as provide sufficient information to law enforcement. Videoconferencing initiatives will need to focus on improving access to courts, in most cases by providing for hearings and arraignments and other court processes without the need to be physically present in the courtroom. Even infrastructure maintenance, which is generally perceived to be

internal, will need to build capacity to serve the information distribution needs of this initiative as more data/video traverses the network over time.



## **DIGITIZE THE COURT ENVIRONMENT**

### **BACKGROUND**

Courts are following industry's lead to "digitize everything," placing a focus on Information Systems to make it easier for people to get their jobs done and done well. As caseloads grow, so does related data entry, and, unfortunately, the harsh reality is that clerical positions are not added at a rate anywhere near the caseload growth rate. The solution is to increase the productivity of existing workers through technology, taking a holistic approach to arrive at a standards-based, integrated system comprised of various disparate parts. This path can invite creative destruction, however, wherein the old way of doing something declines then disappears, resources are re-deployed, institutions and people adapt, the new way grows, and overall benefits are recognized. The problem with creative destruction is its pain for anyone involved in the old technologies and old ways of doing things. Though courts will take an evolutionary rather than revolutionary approach, in the midst of digitization lie some changes in the way courts conduct business, both from the bench and in the back office.

Fundamental to increasing productivity is a mindset that views the court system as an information supply chain -- a network of courts at all levels collectively responsible for dispensing justice within the state. Its goal is to deliver the right information to the right place at the right time. Because data created at or for lower courts may eventually end up at the Supreme Court on appeal, a chain relationship exists between law enforcement, municipal or justice courts, the superior courts, the courts of appeal, and the Supreme Court. This supply chain considers all the individual links leading up to the final one as essential functions within the overall value equation.

As mentioned in "Second-Generation Automation Systems," legacy case management systems necessitate keying and re-keying case information. Second-generation systems will pick up information directly from law enforcement and attorneys' systems, reducing workload by moving the responsibility for input to the source, removing the clerk from the tedious data entry and validation business. The new CMS forms the foundation of the "Digitize Everything" approach, on which are layered imaging, EDMS,

backup/data recovery, court-to-court case transfer, electronic access to records, electronic case filing, central repositories of electronic documents, electronic notifications, electronic archiving, and judge/bench automation activities. In the interim, AZTEC has been enhanced somewhat to enable images to be associated with cases and to accept certain electronic case input from outside sources.

All courts face paper records management and case file storage challenges today. The Judiciary continues to implement technologies such as imaging and electronic filing to address document management requirements. Electronic filing also supports the court's migration to more streamlined processes and workflow management, which imaging was originally begun to support. This initiative has been a high priority each year since the first IT strategic planning session in 1990, as courts have scanned paper filings they receive as a prerequisite to getting rid of paper altogether. But pure imaging provides no metadata, making storage easy but retrieval very difficult. Electronic document management system projects continue to be among the strategic projects in the Commission on Technology's priorities. These projects take the vital next step beyond imaging by enabling key-wording and metadata for efficiently storing and retrieving true electronic documents. All superior court clerks have now implemented a full-featured EDMS and the largest limited jurisdiction courts are following suit.

A June 2000 EDMS study recommended centralized document repositories for jurisdictions lacking technical resources, but legislation requiring the storage of superior court records within the county blocked the approach. EDMS centralization was instead directed at selecting a standard application for superior courts to reduce the number of system interfaces that must be built and maintained. Today, many limited jurisdiction courts still lack the technical resources required to operate a robust EDMS over the long term, safeguarding all original electronic records for significant retention periods, and providing timely disaster recovery. A review of business continuity requirements as courts depend increasingly on paperless e-records led to revisiting the approach. Almost 20 smaller courts have plans to implement EDMS in the near term. To speed adoption, the AOC has created a disconnected scanning option that enables LJ courts to connect to a central, shared EDMS rather than each purchasing and maintaining independent local systems.

As electronic records exist within lower courts they can be re-used for appeals in higher courts. Specifications for data and document transfer are being defined to seamlessly move case information and related documents from limited jurisdiction to general jurisdiction courts and then on to appellate courts within the state – the supply chain of justice. Use of a central document repository will alternatively provide judicial officers a point of access to relevant case documents without requiring additional steps to transfer data and the overhead of re-saving them on the receiving court's EDMS.

Public information from the set of digital case information will be collected in a central repository as the intended source for public inquiry. Public users will be able to "subscribe" to selected cases and receive updates based on changes to specific case information. Pro per se filers will increasingly use interactive, intelligent forms that

output a stream of digital data. An e-filing portal, AZCourts.gov, will provide standard court forms online and lead users through the process of filling out forms and printing them or eventually even e-filing them. PCs deployed at many court, county, and municipal sites across Arizona make public access to electronic resources increasingly available to court users.

The vast majority of case-related documents begin life on a computer, either in law firms, at parties' homes, or on court websites. Once EDMS file rooms exist and second-generation CMSs are online, electronic case filing will enable courts to use this digital source data directly. The courts' enterprise service bus provides a logical location for storing and forwarding electronic filings through a single "front door" to the court system. Law enforcement will continue to expand use of handheld citation devices, photo radar and red light cameras which output validated digital data. Mass filings, like metropolitan eviction actions originating within the same law office, are also slated for e-filing. Once these projects are implemented, the tipping point will be reached – digital data will be the norm while paper becomes the exception. No plan exists to totally discontinue paper filing at the court counter, though the practice should become practically obscure over time as the convenience of electronic filing increases.

Solving the electronic identity riddle as part of e-filing will allow courts to provide trustworthy case-related notifications of warrants, orders, or judgments, further reducing the production of paper within the court but also increasing reliance on electronic systems and processes. Procedural solutions within the Judiciary, like "/s/ typed name," may relegate need for a complex technical signature solution to only those items originating or transmitted outside the courts. AOC is investigating a product for "signing" documents originating in courts for use by others in a manner that could be checked for validity against a log maintained by the issuing court.

Finally, an electronic archiving strategy will be addressed for records that were only ever digital ("born digital"). State Library Archives and Public Records (SLAPR) is the eventual owner of the records under the retention schedules and must be a partner in crafting the statewide solution that takes into account the end-state of electronic court records. Currently, SLAPR requires records to be transmitted on paper or microfilm, regardless of their storage medium at the court, though ratification of the PDF/A format as an international standard may enable a change to electronic archiving over time.

## STRATEGIC ALIGNMENT

<b>STRATEGIC INITIATIVE 7: DIGITIZE THE ENVIRONMENT</b>	
<b>ALIGNMENT WITH COMMISSION ON TECHNOLOGY STATEWIDE AUTOMATION GOALS</b>	
• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.	
• Improve information access and communication from and to the judicial functions.	<b>X</b>
• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.	<b>X</b>

## BUSINESS VALUE

### **IMAGING/EDMS**

- Reduce cost of records storage.
- Provide simultaneous access to the same document.
- Lay foundation for electronic case filing.

### **BACKUP/DATA RECOVERY**

- Reduce the risk of losing court assets.
- Reduce time to restore business information following a disaster.

### **COURT-TO-COURT CASE TRANSFER**

- Eliminate re-keying of case information.
- Improve electronic integration with the legal community and other justice-related departments and agencies.

### **ELECTRONIC ACCESS TO RECORDS**

- Improve access by the public to court records.
- Improve access by justice partners to court records.

### ***ELECTRONIC CASE FILING***

- Extend filing hours and increase access to justice.
- Reduce paper costs.

### ***ELECTRONIC NOTIFICATIONS***

- Simplify court communications processes.
- Reduce paper costs.

### ***ELECTRONIC ARCHIVING***

- Improve the accessibility of archived court information following approved retention schedules, especially at the superior court.

### **DEPENDENCIES**

- Transferring increasing numbers of imaged and electronic documents may require upgraded network capability.
- ACAP desktop PCs need to be able to function as scan stations in limited jurisdiction courts for the central EDMS model to work.
- Funding.
- Software development will be required to provide access to electronic documents through and integration with developing case management systems.
- Authorization, verification, and signature technologies and policies must be established.
- Systemic thinking needs to be applied to this entire process, as business process reengineering and standardization are absolute requirements when creative destruction is involved.
- Public, commercial, and government agency needs for court documents online must be balanced against privacy interests.
- Archiving requires periodic media and format updates to ensure continued accessibility of permanent retention files.
- Detailed technical requirements and safe business practices must be clearly defined and adhered to before paper is removed from the court environment.

## IMPACTS

Simply put, digitizing the courts provides the foundation for e-government. It enables "born digital" content from litigants' systems to be filed into court (getting clerks out of the labor intensive scanning business) and judgments/minute entries to be rapidly communicated from court to affected parties (getting clerks out of the labor intensive minute distribution business).

It also makes a tremendous dent in the courts' paper records storage challenges since disk space is far cheaper than shelf space and has a far smaller footprint. It enables increased justice partner and public access to information (within the bounds of privacy) since multiple individuals can view the same electronic case file at the same time. And, through metadata, it provides for almost instant location of the needed portion of a particular record without reading page after page of a paper file.

Behind the counter, digitization streamlines caseflow by enabling an electronic workflow in which records are intelligently routed to the next functional area and workers see a queue of records that await their action. This keeps the focus on value-added work, allowing more cases to be processed with the same resource level.

But all this doesn't come without the stress of a paradigm change -- the current workforce is paper-centric and current work processes were all developed in a paper world. Processes and related court policies have to be reconstructed around working "digitally" over time. As industry has proven over the past decade, the rewards of digitization far outweigh the risks.

Specific projects include:

- Electronic Document Management
- Disconnected Scanning
- Public Minute Entry Access
- Business Continuity
- Electronic Filing
- Judge/Bench Automation



**PROVIDE DIVISIONS OF THE  
ADMINISTRATIVE OFFICE OF THE COURTS  
SOLUTIONS FOR INTERNAL  
ADMINISTRATIVE SUPPORT**

**Background**

In addition to supporting statewide technology projects, the Information Technology Division of the Administrative Office of the Courts is responsible for providing support and development of a variety of automated systems for AOC divisions. These divisions are supporting courts in the pursuit of the goals outlined in ***Justice 20/20: A Vision for the Future of the Arizona Judicial Branch 2010-2015***.

The Administrative Office of the Courts' mission is to assist the Chief Justice in carrying out the constitutionally prescribed responsibility for providing administrative supervision over the integrated Arizona court system and support the Chief Justice and the Supreme Court in providing quality administrative leadership and assistance to Arizona's courts.

Further, legislation has often charged the Supreme Court with administering certain programs in support of justice-related activities, for instance, Foster Care Review Board (FCRB) functions, certification of private fiduciaries and process servers, the confidential intermediary program, defensive driving school certification, legal document preparer certification, certified reporter certification, and grant tracking. These activities often require automation in order to perform the data collection and tracking needed. Several programs of this nature are supported and/or in development.

## Strategic Alignment

<b>Strategic Initiative 8: AOC Automation</b>	
<b>Alignment Commission on Technology Statewide Automation Goals</b>	
• Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.	X
• Improve information access and communication from and to the judicial functions.	X
• Investigate and invest in technology solutions that improve judicial efficiency and effectiveness in handling growing caseloads.	X

## Business Value

### ***Defensive Driving***

- Completed replacement of the legacy Defensive Driving Tracking System (DDTS). The system now allows enhanced data collection and reporting to the courts. The system integrates with the court's case management systems to automate the processing of diversion fees remitted to the courts by the schools at the case level.

### ***Certification and Licensing Department (CLD) Online Project***

- Modified the online renewal certification applications in compliance with legislative changes.

### ***Attorney Admissions Online Project***

- None this year.

### ***Finance Projects***

(The Administrative Office of the Courts maintains budget, accounting, and personnel records for the AOC and the Supreme Court.)

- Implemented an updated version of software and migrated to SQL 2008 database for New World's logos.net financial management system.

### ***Project Management Office (PMO)***

- Coordinated interviewing and technical testing of candidates for positions in the Information Technology Division.
- Continued project 'circle' forums for on-going project management and team resource training.
- Continued monthly, all-day planning meeting to better coordinate project resources.

- Provided project milestone reports, resource forecasting reports, and project budget reports.
- Assisted project managers on various individual projects.
- Provided regular oversight and project status reporting for executive management. Gave direction to project managers; coached and provided project assistance, as needed.
- Provided additional oversight and processes for high profile, enterprise projects.
- Promulgated common project methodology and standards.
- Promoted continuous process improvement feedback from piloting new ideas and processes.

# **ARIZONA JUDICIAL BRANCH**



## **INFORMATION TECHNOLOGY STRATEGIC PROJECTS**

**FOR FISCAL YEARS 2013-2015**

## IX. INFORMATION TECHNOLOGY STRATEGIC PROJECTS

This section contains a description of the statewide or state-level strategic projects undertaken by the Judicial Branch for Fiscal Years 2013 through 2015. These projects arise from the strategic initiatives above and support *Justice 20/20: A Vision of the Future of the Arizona Judicial Branch 2010-2015's* business goals as well as the Commission on Technology's automation goals. Most are on-going projects focused on attaining the goals of a more responsive and accessible Judiciary.

At its June 2009 strategic planning session, the Commission on Technology revised their groupings from affinity areas by impact and timeline to a funding based priority list, pared considerably from past years in response to reductions in budgets. At the May 2011 strategic planning session, Commission members continued to evaluate and update the list of projects, but reduced the detail of the listing into three general tiers of priorities. The goal was to give project managers accurate guidance about what projects carry more importance than others without micromanaging them.

The Arizona Judiciary's strategic information technology projects for 2013-2015, shown by tiers of priority, are:

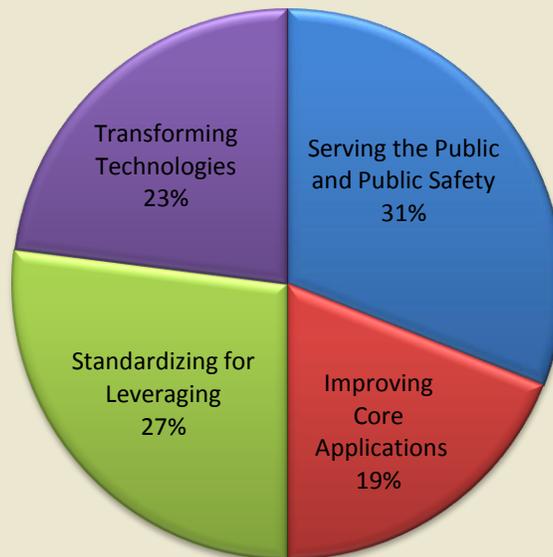
STRATEGIC PROJECTS	
TOP TIER, E-FILING	
CIVIL CASE ELECTRONIC FILING — MARICOPA & PIMA	
JUDGE AUTOMATION	
AJACS - E-FILING	
TOP TIER, COURT AUTOMATION	
AJACS —LARGE VOLUME/MESA ENHANCEMENTS	
JOLTSAZ — PIMA IMPLEMENTATION	
FARE	
AJACS — AZTEC REPLACEMENT	
AJACS (GJ) Enhancements	
NEXT TIER	
ELECTRONIC DOCUMENT ACCESS	
JOLTSAZ — RURAL IMPLEMENTATIONS	
APETS-AJACS INTEGRATION	
ELECTRONIC WARRANTS	
AZTURBOCOURT — DOMESTIC RELATIONS	
AZTURBOCOURT — CRIMINAL	

These technology projects address five objectives. Below the projects are listed by these objectives:

OBJECTIVE	PROJECTS
<b>Using Systemic Thinking</b>	All
<b>Serving the Public and Public Safety</b>	JOLTSaz Pima Implementation JOLTSaz Rural Implementation e-Filing (all related projects) Electronic Case Information & Document Access AJACS e-Filing Integration Electronic Warrants
<b>Improving Core Applications</b>	AJACS GJ Enhancements AJACS AZTEC Replacement AJACS LV/Mesa Enhancements APETS-AJACS Integration FARE Integration
<b>Standardizing for Leveraging</b>	AJACS AZTEC Replacement AJACS LV/Mesa Enhancements JOLTSaz Pima Implementation JOLTSaz Rural Implementation e-Filing (all related projects)
<b>Transforming Technologies</b>	Judge Automation Electronic Case Information & Document Access e-Filing (all related projects) Electronic Warrants

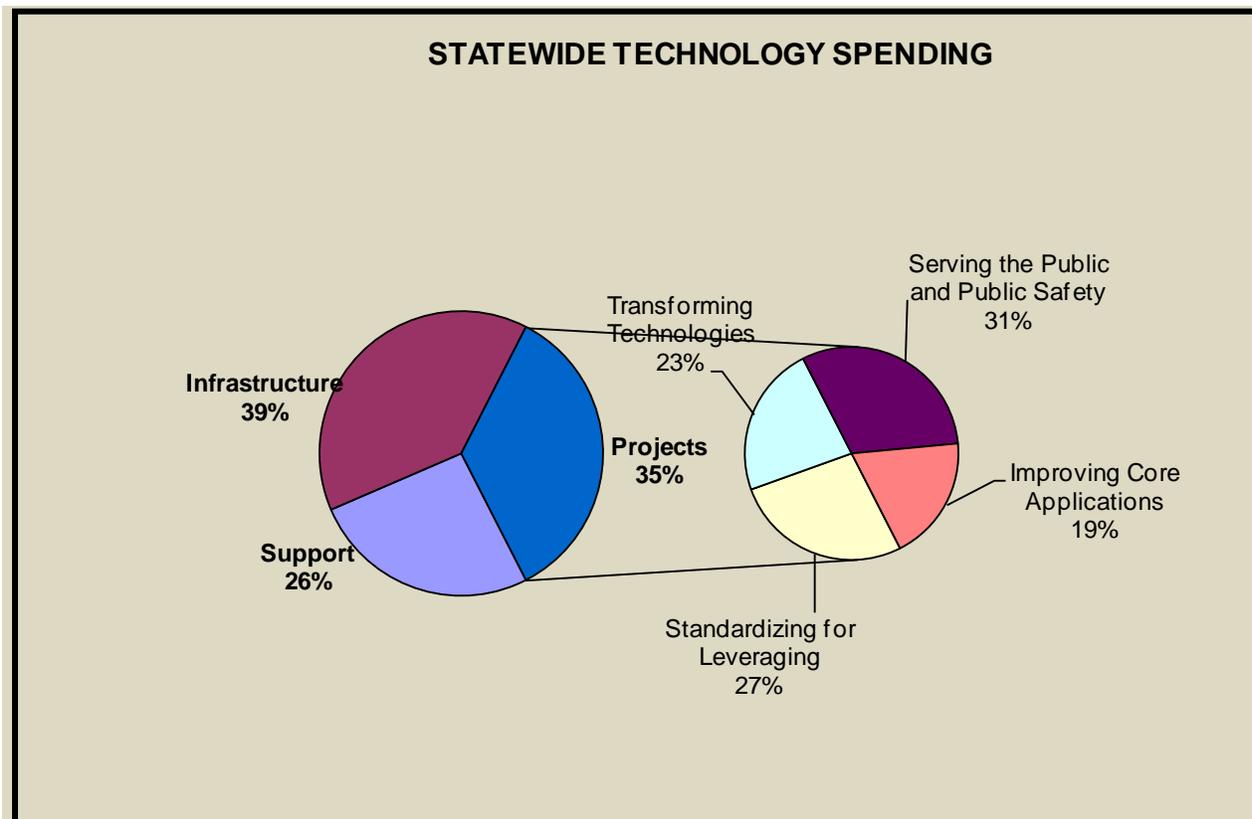
In addition, there are many technology-related activities and projects within the judiciary that support day-to-day operations. Staff must, for instance, provide continued support for the existing core applications and infrastructure. Existing projects need to be completed or supported with required or mandated enhancements.

## STRATEGIC PROJECTS BY OBJECTIVE



While the mix of projects would ideally be balanced, the Judiciary continues to expand the reach of electronic filing and the services it enables to include remote document access and electronic warrants, tilting the mix toward the category of “Serving the Public and Public Safety.” Several of these projects involve standardizing, reengineering and collaborating to find, document, and train on best practices, thus leveraging judicial resources statewide.

Further, nearly two-thirds of court technology spending remains dedicated to supporting the existing infrastructure, applications, and staff. Project work (CMSs, document access, judge automation, integrated justice applications) represents roughly one-third of the overall spending this year, a reduction from previous years as the results of earlier projects transfer into the support category of spending.



\* Chart does not include local court costs even if related to a statewide goal.

For each project's alignment with business strategic initiatives and automation goals, refer to the **Strategic Plan Analysis** section where this is detailed in several charts.

- Alignment with **Justice 20/20: A Vision for the Future of the Arizona Judicial Branch 2010-2015**
- Alignment of Strategic Projects with Automation Goals
- Portfolio Analysis: Projects by Class

For each project listed in the detailed strategic projects section, the following information is included:

- The project's goals are provided. They are stated in terms of milestones planned to be completed by the dates, which may be noted.
- The **Snapshot** provides a very brief characterization of the project. Included are the project's class and status. Also, an assessment of the degree of risk associated with successful completion of the project is included.

- A **Description** section describes the project and can include general information, a report of the existing situation, an outline of proposed changes and objectives, and description of technology used or technical environment.

**STRATEGIC PROJECT ANALYSIS**

The Commission on Technology has different perspectives from which to view projects to assist it in analyzing proposed strategic information technology projects.

***ALIGNMENT OF BUSINESS GOALS AND IT PROJECTS***

The first view aligns technology projects with the strategic business initiatives of the Arizona Judicial Branch. Projects are undertaken only when they support the business goals and initiatives of the judiciary. Below is a table depicting the various business initiatives that each technology project supports.

<b>INFORMATION TECHNOLOGY STRATEGIC PROJECTS FISCAL YEARS 2013-2015</b>	
<b>TECHNOLOGY STRATEGIC PROJECTS</b>	<b>ALIGNMENT WITH “JUSTICE 20/20: A VISION FOR THE ARIZONA’S JUDICIAL BRANCH 2010-2015”</b>
<b>Electronic Filing Related Projects</b>	Improve efficiency of case processing through implementation of e-filing capabilities in all cases and in all courts. Assist self-represented litigants by implementing intelligent e-filing. Implement public access to courts through AZTurboCourt.
<b>Integration-Related Projects</b>	Modernize to improve court processes and information gathering, tracking, and sharing. Expand use of e-Citation to electronically transfer citation information from law enforcement to the courts.
<b>New Case Management Systems Development / Enhancements</b>	Modernize to improve court processes and information gathering, tracking, and sharing through implementation of case management systems in <ul style="list-style-type: none"> <li>• Juvenile Court: JOLTSaz,</li> <li>• Limited Jurisdiction Court: AJACS, and</li> <li>• General Jurisdiction Court: AJACS.</li> </ul>

## INFORMATION TECHNOLOGY STRATEGIC PROJECTS FISCAL YEARS 2013-2015

TECHNOLOGY STRATEGIC PROJECTS	ALIGNMENT WITH “JUSTICE 20/20: A VISION FOR THE ARIZONA’S JUDICIAL BRANCH 2010-2015”
Process Standardization	Continue implementing Court Performance Measures. Assist self-represented litigants by implementing intelligent e-filing.
Probation Automation Development / Enhancements	Modernize to improve court processes and information gathering, tracking, and sharing through implementation of case management systems in <ul style="list-style-type: none"> <li>• Juvenile Court: JOLTSaz.</li> </ul> Employ evidence based practices.
Business Continuity	Update “continuity of operations” plans to be prepared to continue or resume operations in the event of disasters and epidemics.
LJ Electronic Document Management Projects	Improve efficiency of case processing through implementation of e-filing capabilities in all cases and in all courts. Provide judges the tools they need to operate in the digital court environment.
Automation/Technical Training	Develop an ongoing training program that provides court employees with the knowledge necessary to properly process cases and to operate the case, document, and financial management systems. Develop distance-learning technologies. Increase use of videoconferencing, webinars, internet meetings, and webcasts.
Enterprise Architecture	Develop distance-learning technologies. Consider use of new social networking tools. Implement admission on motion and an online bar application process.
Electronic Document Access	Use technology to provide efficient access to court documents while ensuring the security of confidential information. Produce an expanded index of court rules to enhance usability for court employees and the public. Employ technology to enhance communications within the courts and with the public.
Judge/Bench Automation	Provide judges the tools they need to operate in the digital court environment. Create a searchable “opinions” database for judges.

## INFORMATION TECHNOLOGY STRATEGIC PROJECTS FISCAL YEARS 2013-2015

TECHNOLOGY STRATEGIC PROJECTS	ALIGNMENT WITH “JUSTICE 20/20: A VISION FOR THE ARIZONA’S JUDICIAL BRANCH 2010-2015”
Electronic Warrants	Maintain and improve communications with other branches of government, communities, agencies, and stakeholders.

### *ALIGNMENT OF AUTOMATION GOALS AND IT PROJECTS*

A second view of technology projects organizes them by their support of one or more of the three Statewide Automation Goals. They are:

- Provide a stable, reliable, functionally rich, extensible, interoperable base of business automation and infrastructure.
- Improve information access and communication from and to judicial entities as well as the other criminal justice system functions.
- Investigate and invest in technology solutions that improve judicial effectiveness in handling growing caseloads.

The following chart also includes the priorities established by the Commission on Technology at its March 2001 and June 2002 planning workshops, as updated at the June 2012 annual planning meeting.

ALIGNMENT OF STRATEGIC PROJECTS WITH AUTOMATION GOALS				
STRATEGIC PROJECTS	PRIORITY TIER	BUSINESS & AUTOMATION INFRASTRUCTURE	ACCESS & COMMUNICATION	JUDICIAL EFFECTIVENESS
Electronic Filing — Civil Cases	Top	X	X	X
Judge Automation	Top			X
AJACS—e-Filing Integration	Top		X	X
LJ CMS — LV/Mesa Enhancements	Top	X		X
JOLTSaz — Pima Implementation	Top		X	X
FARE (Integration)	Top	X	X	
AJACS (LJ) AZTEC Replacement	Top			X
AJACS (GJ) Enhancements	Top	X		X
Electronic Document Access	Next	X	X	

ALIGNMENT OF STRATEGIC PROJECTS WITH AUTOMATION GOALS				
STRATEGIC PROJECTS	PRIORITY TIER	BUSINESS & AUTOMATION INFRASTRUCTURE	ACCESS & COMMUNICATION	JUDICIAL EFFECTIVENESS
JOLTSaz — Rural Implementations	Next	X		X
APETS–AJACS Integration	Next	X	X	
Electronic Warrants	Next		X	
Electronic Filing — DR Cases	Next	X	X	X
Electronic Filing — Criminal Cases	Next	X	X	X

### ***PORTFOLIO ANALYSIS OF IT PROJECTS***

A third view organizes projects by operational type (basic, enhancing) with respect to their support of business goals. Other factors considered are a project’s urgency based upon interdependencies with other projects, operational demands and/or legislative mandates. These views and factors enable the Commission to identify and prioritize the strategic projects.

This reflects an assessment of the level of impact the proposed strategic project will have on the Commission on Technology’s identified strategic business needs. For this analysis, the Commission has adopted an approach developed by Mr. William Rossner, a Gartner Group analyst, as a way of approaching strategic planning for information technology. Application portfolio analysis provides for applications to be categorized into three classes:

- The **utility class** of applications - which includes the basic applications required to be in business.
- The **enhancement class** of applications - which includes those that extend the organization’s performance, offering, for instance, faster delivery of information, better service, and higher quality.
- The **frontier class** of applications - which includes those that represent a potential breakthrough that could make a dramatic improvement in an organization’s efficiency, effectiveness, or competitiveness.

Mr. Rossner noted that balancing each of these areas is the key to planning.

### ***UTILITY CLASS APPLICATIONS***

The AOC/ITD planning group believes they have appropriately balanced maintenance, replacement, and upgrades to basic necessary functions with enhancement and “leading edge” projects. Several projects are building incrementally on past efforts that

created basic infrastructure and business applications, like APETS, AJACS, and the centralized EDMS for LJ courts.

Not all IT projects are listed below, of course, but the priority projects with state-level visibility and significant resource needs are. Several IT applications are simply in maintenance mode and are not identified as priority projects. It is expected that these applications will continue to be supported and maintained. These include, for instance, AZTEC, the first-generation statewide case management system, the Tax Intercept Program (TIP), Appellamtion, and various internal accounting and utility programs supporting the Supreme Court and the Administrative Office of the Courts.

### ***ENHANCEMENT CLASS APPLICATIONS***

The enhancement types of projects are directed towards extending the capabilities of many applications - adding, for instance, improved data integration functions to the probation automation and case management systems to support the justice integration strategic initiatives. Enhancement projects also include those new projects that will allow courts to provide a higher quality of service to the public, another goal of *Justice 20/20*.

Constructing additional functionality on top of what currently exists, like JOLTS Needs Assessment and AJACS Reporting, qualifies as an enhancement, as does re-engineering APETS to accommodate the change in business approach brought about by Evidence-Based Practices (EBP). Increasing the functionality of the central clearinghouse by constructing a web-based application for use by defensive driving schools to report more detailed information to enable financial integration with AZTEC and the new LJ case management systems also falls in the category of an enhancement.

Since return on investment decreases as a function of remaining useful life, AZTEC development efforts have been greatly scaled back as replacement CMSs get implemented. AZTEC must continue to be updated for legislative changes as long as it remains in production use, but any requested enhancements to AZTEC's functionality are carefully balanced against end-of-life considerations.

In the area of civil case electronic filing, the Judiciary is in sync with the state executive and legislative branches in speeding to accept electronic documents. At its June 2005 annual planning meeting, the Commission on Technology (COT) created an e-court subcommittee to drive and coordinate the statewide evolution of electronic filing in Arizona. Predicated on the understanding that e-filing is far more business process dependent than technology dependent, this ad hoc group chaired by Vice Chief Justice Andrew Hurwitz continues overseeing the business decisions, change process, and specific plans necessary to:

- Expand court-to-court electronic filings including records on appeal and lower court bindovers;

- Create and leverage a central, electronic clearinghouse for criminal data among justice partners; and
- Create a unified, attorney/public e-filing system leveraging standardized, interactive, statewide forms as its foundation.

The Judiciary continues evaluating its rules for authenticating and accepting electronic documents filed by the legal community and by the public. Current policies related to paper filing are not influencing the crafting of electronic solutions, in order to keep new ideas flowing and progress being made.

### ***FRONTIER CLASS APPLICATIONS***

In addition, the Judiciary is engaged in a few projects that are on the “frontier” of technology. When complete, these will substantially increase the Judiciary’s technology capability, and significantly modernize it using technology. The criminal e-filing and electronic warrant projects will greatly increase digitization in the courts, speed case processing, and vastly improve the accuracy and reliability of court documents. To interoperate with federal and state justice initiatives as well as to address ever-growing workloads in a time of decreasing levels of staffing, these frontier projects must be undertaken.

### ***SUMMARY***

It is important to note that each strategic project in the list encompasses more than one major activity. They are related but separate, often with entirely different project teams and user base. For example, the project titled “Automation Training and Support” includes a centralized support center, field support technicians, and several independent projects developing computer based training (CBT) and Web-based interactive training on automation applications. Further, it also includes the combined funding and training of the on-site, county-level, automation trainer. Individual technology projects may, therefore, be enhancing, but if the major impact of the strategic project is to maintain basic utility, then the strategic project would likely be classified as utility.

Taking that approach to the Arizona Judicial Branch’s strategic projects, both existing and planned, yields the following overview:

<b>STRATEGIC PROJECTS</b>	<b>UTILITY</b>	<b>ENHANCEMENT</b>	<b>FRONTIER</b>
Electronic Filing — Civil Cases		X	
Judge Automation		X	
AJACS e-Filing Integration		X	
LJ CMS – Large Volume/Mesa Enhancements	X		
JOLTSaz — Pima Implementation	X		
FARE (Integration)		X	
AJACS (LJ) AZTEC Replacement	X		
AJACS (GJ) Enhancements		X	
Electronic Document Access		X	
JOLTSaz — Rural Implementations	X		
APETS-AJACS Integration		X	
Electronic Warrants			X
Electronic Filing — DR Cases			X
Electronic Filing — Criminal Cases			X

The Judiciary considers the distribution of strategic projects to be reasonably balanced. Frontier projects can be large in scope and resource demands. Limiting those to significant and “doable” projects is deliberate.

# AUTOMATION TRAINING & SUPPORT



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Continue the placement and support of PCs for ACAP, JOLTS, APETS, and AOC users, including the replacement of desktops as leases terminate.
- Continue phone support for statewide and AOC applications.
- Facilitate the rollout for new releases of core application software.
- Add and train resources to support new APETS users statewide.
- Develop an automation-training curriculum.
- Develop computer-based training and online interactive training programs for case management systems and other core application software.
- Develop training programs for automation field trainers.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

#### ***TRAINING PROVIDED:***

- AZTEC and AJACS training was provided in a classroom or online setting on various topics, including Financial Processing, Protective Order Processing, MVD/DDP/DPS interfaces, Legislative Updates, Statistical Reports, and AZTEC versions 1.55 and 1.551
- 70 classes with 633 attendees.
- Additionally, one-on-one phone training was provided to 1753 users as a result of questions/problems submitted through Remedy.

**SUPPORT SERVICES PROVIDED:**

- An average of 480 support calls for AZTEC/AJACS courts received each month.
- An average of 71 support calls for APETS received each month.
- An average of 218 support calls for JOLTS on a monthly basis.
- An average of 1358 support calls for AOC/Supreme Court on a monthly basis.
- An average of 881 information calls handled for Public Access and/or FARE on a monthly basis.
- An average of 988 support calls for AZTurboCourt on a monthly basis.
- New software releases/updates of AZTEC, DCATS, TIP, AJACS, and other AOC-sponsored applications continued to be deployed through automatic update server (Altiris).

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New		High
Enhancement		On-going	×	Medium
Frontier		Replace/Upgrade		Low

**PROJECT DESCRIPTION**

This strategic project provides support statewide for automation. It includes:

- a help desk function,
- statewide technical support, and
- automation training.

The requirements for effective application and field support and training have increased with number of statewide applications deployed.

**PHONE AND TECHNICAL SUPPORT**

User phone support and field support functions are consolidated into a single Support Services group. The goals established for Support Services reflect the desire to provide centrally located as well as remotely stationed field support function.

AOC Support Services (Customer Support Center and Technical Support) currently supports a total of:

- 2,863 PCs for state-wide ACAP, JOLTS and APETS users
- 766 PCs for AOC/Supreme Court users

For the centrally supplied support, technicians use software tools for the remote control and diagnostics of users' hardware and software. Since remote tools were implemented, travel has been reduced by a significant amount and staff has provided more timely response to problems being experienced by the users.

Ideally, deploying field technicians in both northern and southern Arizona would provide more immediate on-site technical support. These technicians would perform troubleshooting of both hardware and software problems not resolved by the centrally located support. Funding has not been allocated for this at this time and so deployment of distributed field support is delayed.

Distributed system management is part of the funded ACAP Support effort. The software, Altiris, is part of the "image" on PCs delivered.

This software has established the capability to remotely manage the systems distributed in a variety of locations in Arizona. It addresses two areas of remote management. First, it establishes processes, procedures, and automated solutions to poll, analyze, and report on systems' status, providing alerts to both existing and pending problems as well as an inventory of software on the system. Second, it provides for the automated distribution of both application and system software. This software distribution and remote management package significantly reduces travel expenses and allows the Field Support team to be more responsive to user requests for PC service, software, and assistance.

### ***TRAINING***

Some of the automation-training role for the various statewide applications resides in the user community. They are the experts in the business functions required to do the job and the best way to use the automation tools to achieve their goals.

Therefore, in coordination with Technical Support, development activities, rollout tasks, and help desk access; Automation Process Analysts are available to provide strategies and programs for automation training. In addition, 13 of the 15 counties use grant funding to pay a portion of the salary of a local field trainer to provide local support and training, particularly to new staff. The users, especially AZTEC users, have identified this as a very high priority as often court training resources are limited and the effective training of new court staff is critical to on-going court operations.

As new applications like AJACS are implemented, Training Support will collaborate with the responsible software development teams to construct the required training courses. They will also develop training tools on targeted topics that may involve the preparation of recorded training classes and conducting regional training conferences. Further, they will provide the Support Services staff with training to provide needed phone and on-site technical support, as appropriate.

As a result of budgetary constraints and the ongoing projects to implement new case management systems or increase the functionality of the existing systems, the automation training role has been modified somewhat and now includes joint application

design sessions. Training staff spent a total of 2756 hours involved in design sessions and testing to insure appropriate functionality before changes were implemented in the courts.

To satisfy the need for on-site automation training and assistance, State funds will partially fund an automation trainer in each county. The position's duties include supporting all the courts (county and municipal, general and limited jurisdictions). These trainers assist users locally in their attempts to better utilize the automated systems. Standardizing business processes and workflow as well as assistance in creating specialized management reports are examples of such improved utilization.

Training is the most critical component in the success of an automation system. This training needs to be readily available to new staff and frequent refreshers must be made available to veteran staff. The AOC, with funding from the Commission on Technology, will be offering a multi-faceted approach to solving this problem:

- Comprehensive Curriculum - A training team develops the comprehensive ACAP training curriculum. It provides classes in all aspects of case processing and the use of the case management system.
- Classroom Training - The AOC has created a portable, self-contained training lab that allows ACAP training to be hosted on site or at offsite locations throughout the state without requiring dedicated computer training rooms.
- Computer Based Training (CBT) - The AOC has the capability to produce and distribute interactive and self-directed computer-based training. Some of the very basic classes will be distributed in the form of CDs to the courts. Most of the training will be made available, in interactive format, across the Court's network (AJIN). These classes will be on most needed topics and will be conducted by a live instructor. These courses can also be recorded for later review or access by persons unable to participate.

# BUSINESS CONTINUITY



## PROJECT GOALS AND ACCOMPLISHMENTS

Because courts increasingly rely on automated systems and electronic documents, the Commission on Technology continues its emphasis on business continuity. A set of systemic best practices is being developed and communicated to local courts regarding the identification of and mitigation of vulnerabilities. Work continues on compiling a statewide inventory designed to reveal disconnects between local expectations for business restoration and the likely realities courts face during disaster scenarios.

COT has identified a minimum set of information courts are responsible to document in planning a response to specific business risks, from both inside and outside the court building. Formulating responses to disasters and documenting a business restoration strategy requires hard work and intense communication among court departments and with justice partners. COT plans to compile from courts' input a set of scenarios and related options that would mitigate the largest, most common risks for the most courts. Discussion can then focus on the appropriate business continuity initiatives to fund.

Media focus remains strong on recent releases of personal information by government entities. A recent GAO study of over 570 data breaches reported in the news media from January 2005 through December 2006 showed these incidents varied significantly in size and occurred across a wide range of entities. Since court business relates to individuals, no court storing electronic information is immune. Arizona has passed a law mandating notification of individuals whose personal information is inadvertently released. Administrative Order 2008-68, issued August 14, 2008, addresses provisions of that law related to courts.

**PROJECT GOALS**

- Provide specific training to court administrators related to court business continuity of automated systems.
- Develop an assessment and planning guide for court business continuity, focusing on the information technology elements that enable court business.
- Evaluate loss scenarios and mitigation costs to determine appropriate initiatives to fund.
- Educate local courts on the risks associated with creation and maintenance of distributed electronic records.
- Obtain the address of each court’s designated business restoration location to ensure communications connectivity exists prior to a disaster.

**PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

- AOC staff completed a comprehensive analysis of the data contained in the risk assessment tools returned from courts. Based on the data, staff established maximum times for unplanned outages of individual statewide systems and obtained consensus from counties whose reported business requirements indicated less allowable downtime.
- AOC Operations began compiling factors related to expected recovery times from the courts, best practice mitigation/recovery strategies, and the estimated costs of enacting those mitigation/recovery strategies.
- Remained abreast of Pandemic Continuity of Operations guidance being developed by AOC, especially mission critical court functions.

SNAPSHOT			
CLASS		STATUS	RISK
Utility		New	High
Enhancement	×	On-going	Medium
Frontier		Replace/Upgrade	Low

## PROJECT DESCRIPTION

In our increasingly interconnected world, business, including the business of government, comes to a standstill without the flow of electronic information. When court data systems or the network that connects them are damaged and processes disrupted, the problem is serious and the impact far reaching. Mistakes lead to public distrust and the erosion of public confidence in the institutions of government. The consequences can be much more than an inconvenience, even affecting life, health, and public safety. Vital digital records must not only be preserved but have at least the same assurance of availability as paper records were perceived to have.

Disaster recovery has always been an issue for courts but it is becoming pervasive as courts increase their reliance on automated systems and electronic documents. Integration also makes an outage in a single court potentially disruptive to their partners throughout the justice system. Fixing a single site, like the data center at the State Courts Building, only addresses a piece of the overall problem, since more of the environment is being distributed among the local courts. Local courts must develop and communicate their own detailed plans.

A prime example of the risk related to decentralization is in the arena of electronic document management. With the implementation of EDMS in all superior court clerks' offices throughout the state, courts are poised to stop collecting paper in the near term in favor of electronic case filing. Even in the current environment where clerks digitize the paper they receive, court processes are becoming dependent on the electronic records. The majority of rural superior courts had to stretch financially to afford a single EDMS server; purchasing a secondary or redundant system is well out of their reach. Courts are not prepared to quickly rebuild servers and get data restored even where reliable backups exist. As limited jurisdiction courts now undertake digitization efforts on even lower budgets with fewer support staff, the problems are magnified.

ACJA 1-507 contains provisions for courts desiring to destroy paper for which equivalent electronic records exist; unfortunately, few courts are able to meet the associated technical requirements, even for closed records. The AOC has constructed a solution that replicates electronic records from the state-standard EDMS to a central location. For limited jurisdiction courts that cannot afford a local EDMS, AOC has also constructed a central EDMS for shared use. Both solutions increase the survivability of electronic court records by storing multiple copies in separate geographic locations. Courts using the AOC's central EDMS or replication solution are being given authorization to destroy paper, since the AOC systems fulfill the technical requirements of ACJA 1-507.

Interestingly, a recent study revealed that natural or man-made disasters were actually the least likely cause of system downtime. The wealth of other more mundane contributors to outages includes user errors, application errors, hardware failure, utility outages, and fiber cuts. There is quantifiable risk associated with each of these conditions, defined as the probability of occurrence multiplied by the magnitude of

impact. TAC created a survey tool that helps local courts confront their risks from the likely perspectives of

- Failure of a single system or component (disk, switch, power supply),
- Unavailability of staff (pandemic flu)
- Failure of the enabling environment (power grid down, fiber cut)
- Failure of multiple systems or components (water damage, power surge, server room fire)
- Loss of an entire facility (flood, hazardous waste, bombing).

The tool, a business continuity/disaster-planning matrix, used to capture COT's minimum required artifacts, is divided into two parts. Part 1 asks court business leaders to identify top services and business functions the court can't operate without -- those required by law, rule, or administrative order. Common processes were pre-populated to help the brainstorming process. Leaders are then prompted to enter the maximum allowable time the court can go without providing that function. Leaders may also define an order of precedence for restoring the function based on the criticality of each individual business process.

Part 2 aligns the required business processes with the automation systems that support them. Risk is then identified using a five-point scale for likelihood and a five-point scale for impact. This scoring effort reveals those processes that most need protection or workarounds in place. The amount of unplanned downtime that can be tolerated is also an instructive number.

The majority of completed matrices have been returned to AOC staff to provide to COT for consideration of vulnerabilities, solutions, and costs. Staff will also characterize the "ripple effect" of one court's outage on the other courts and justice partners relying on data from that court. The goal is to characterize those initiatives that best advance the courts in the direction of the desired state.

Completed risk assessments returned to date have identified the following items under the control of AOC as having the highest priority for restoration:

- AJIN connectivity and trust relationships,
- Videoconference network (for remote appearances or hearings),
- Case management system and court database,
- JOLTS application,
- APETS application,
- E-mail application,
- Criminal history access (to DPS).

Completed risk assessments returned have identified the following items under local control as having the highest priority for restoration:

- The local area network,
- Court reporting/recording software,
- Local add-on applications to the case management system,
- Any electronic document management system,
- Financial applications outside the case management system (often county or city systems).

Much more analysis is still required to compose an accurate reporting, but work is ongoing.

# COMPUTER/TABLET REFRESH



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Deploy replacement PCs to users statewide on four-year cycle.
- Deploy updated software to remain in support.
- Validate candidates for suitability as the replacement operating system for Windows Vista.
- Create an internal and external image for rapid deployment.
- Develop and execute training plan in support of new PCs.
- Assist courts in workarounds for local applications that are not yet compliant with new operating system and productivity software.
- Continue maintenance and support throughout complete test and deployment cycle.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Assigned specific staff according to implementation plan to download and begin testing the pre-release version of Windows 8.
- Completed testing of first release and downloaded second release version.
- Contacted hardware manufacturer to request hardware specifications compliant with Windows 8.
- Began internal testing of Windows 8 with AOC business units.

- Began assessing new operating system (O/S) and accompanying productivity software, likely Windows 8 with Microsoft Office 2010, for larger scale impact and related training needs.
- Initiated construction of plan to test all statewide court software, especially case management applications. Determined policy for assisting courts in workarounds for local applications that are not yet Windows 8 compliant.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	X	New		High
Enhancement		On-going		Medium
Frontier		Replace/Upgrade	X	Low

### PROJECT DESCRIPTION

The purpose of this periodic project is to replace all the State-owned external (ACAP and JOLTS) and AOC internal PCs (about 3500 total). Because of the long life required of the new PCs and the ever-shortening support cycle by software manufacturers, the project also includes a change in the operating system and basic applications utilized by PCs deployed in the courts' environment. Standard applications and bolt-ons will be tested to ensure continued operation in the new environment.

On our last PC refresh a few AOC owned systems were left behind as a fallback plan to host applications until drivers existed and manufacturers updated their code to work in the Vista environment. This issue is not expected to recur in moving to Windows 8.

# CORE SOFTWARE & SUPPORT

## ~AJACS~



### PROJECT GOALS AND ACCOMPLISHMENTS

#### PROJECT GOALS

- Provide AJACS maintenance releases as needed to implement required legislation changes and efficiency enhancements.
- Provide continuing support and maintenance for general jurisdiction court case and cash management automation.

#### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Continued planning and deploying prioritized improvements to AJACS for general jurisdiction courts.
- Continued formal AJACS version control and staging processes for future AJACS releases.
- Completed development, testing and deployment of AJACS Versions 3.6 and 3.7 to all 13 AJACS Superior Courts.
- Completed development and testing of AJACS Version 3.8 but combined with Release 3.9 for deployment.
- Began the AJACS AVT Push Tool structure for updates to all courts synergistically.
- Conducted a 6-month campaign of implementation of ADRS integration and training for 9 of 13 courts (balance to be completed in the last quarter of CY 2012).
- The reports group completed review of all system reports and deployed all improvements to production.

- Formed GJ CMS User Group and began meeting monthly.
- Placed FARE Program and interface in production in two courts.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New	×	High
Enhancement		On-going		Medium
Frontier		Replace/Upgrade		Low

### PROJECT DESCRIPTION

In a strategic planning session for 2004-2006, the court considered the existing case management system for general jurisdiction courts, AZTEC, to be reaching the end of its life cycle because of aging technology. The product had become difficult to support, especially finding staff knowledgeable in the AZTEC development tools. AZTEC was a generalized and parameterized system that provided functionality for both limited and general jurisdiction courts. A separate project addresses the need to replace AZTEC in limited jurisdiction courts.

The Commission on Technology considered and discussed several options available to the court to address replacing AZTEC, including issuing a Request for Proposal for a commercially available court package.

COT members requested a study of the viability of vendor systems installed. Having seen the results of that study, members re-evaluated the build, borrow, and buy options in early 2007. A Request for Proposal was generated and the responses evaluated. COT members voted to recommend a buy option using the top-scoring vendor, AmCad, to the Arizona Judicial Council. AJC also approved the budget to purchase and implement the vendor CMS in 13 superior courts. The system was officially given the name “Arizona Judicial Automated Case System” or AJACS.

Phase 1 of the contract involved successful completion of the two pilot courts, Yuma and La Paz Superior. Phase 2 covered the deployment of the remaining 11 rural superior courts using a support services arrangement renegotiated upon completion of Phase 1. The GJ CMS deployment phase of the AJACS software to the contracted 13 Superior Courts completed on May 7, 2010. All former AZTEC superior courts are now in full production on the AJACS software.

With the deployment of AJACS completed, resources were redirected to improving the system. The key areas targeted for immediate resource allocation and attention include:

1. Automated validation tables (AVT) corrections and standardization,
2. Next release testing and deployment,
3. Standard reports improvements and enhancements,
4. Data conversion issues resolution, and
5. Production Remedy (issues and defects) management.

All of the above five key areas were accomplished in FY 2011 or are of a nature that makes them ongoing through the life of the AJACS platform.

The GJ CMS Project has proven to be a significant success for the AOC and the Superior Courts of the State of Arizona, creating an optimum platform for standardization, future data integrations, and real-time decision making. The project is now in a maintenance and enhancement phase.

# CORE SOFTWARE & SUPPORT

## ~APETS~



### PROJECT GOALS AND ACCOMPLISHMENTS

#### PROJECT GOALS

- Update several county-specific/local sentencing forms and provide a range of APETS software enhancements to improve business flow and the accuracy of data entry.
- Automate the data entry of deported probationers into state and national databases to enable law enforcement to notify Adult Probation if illegal re-entry occurs.
- Convert the manual statewide analysis of Adult Probation's population and performance statistics to an automated production solution that IT Operations can schedule monthly.
- Create a new APETS interface with the iCIS CMS to automate the processing of Petitions to Revoke from Maricopa County.
- Modify the content and format of several reports that currently reside within the APETS Report Application, including various reports based on changed and expanded definitions of performance measures.

#### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Successfully completed the major APETS Technologies Upgrade Project that included the following components:

- Migrated current APETS software to PowerBuilder 12.5 which returns the application to a vendor-supported environment. Eliminated no longer used software while maintaining the same functionality as APETS has today.
- Converted the existing Informix database to a SQL Server 2008 database, allowing some Informix licensing to be eliminated.
- Maintained the HOW (code generator) ancestry for major objects in the application, but not to be used for any new development going forward.
- Increased the resolution of the main application screens to provide improved viewing on current monitor technology as well as an updated look and feel to the overall application, resolving a longstanding issue for users across the state.
- In addition, continued to support and maintain the APETS production system throughout the year.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New		High
Enhancement	X	On-going	X	Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

APETS is the automated tracking system for Adult Probation services. It was first deployed in Maricopa County and all probation departments in the state were using it by December 2006. APETS has approximately 2,500 users statewide that access the system on a 24/7 basis.

Beginning with Pretrial, dependents are tracked through initial arrest to supervised release and acquittal or conviction. Pretrial data is retained separately to ensure protection for non-convicted persons. Data includes case status, contact/case notes, and drug testing results.

Presentence support includes multiple assessment tools, full demographic data, abuse history, criminal history, and standard format face sheet for court review.

Recommendations may be made by the Probation Department, altered by the judge, and outcomes entered for use in supervised probation tracking.

Supervised probation tracking is a fully functional case management system. Functionality includes case initiation, post PSI assessments, case plan management, drug court management, contact/case notes, UA tracking, petition processing, conditions and addendums of probation management, program and treatment tracking, multi-county courtesy supervision, multiple client transfer capability, victim tracking and responsible officer history.

Administratively, APETS allows multiple search capabilities, management level browse and review engines, caseload management, administrative category management (deportation, prison, specific jail terms and unsupervised status requiring minimal personnel interactions), and Interstate Compact support.

# CORE SOFTWARE & SUPPORT

## ~APPELLAMATION~



### PROJECT GOALS AND ACCOMPLISHMENTS

#### PROJECT GOALS

- Provide comprehensive case management system software for all appellate courts.
- Digitize the Appellate courts.
- Enable electronic dissemination of court documents to filers and the public.
- Comprehensively implement the OnBase electronic document management system(s), including CMS integration.
- Continue to enable and expand electronic filing of all case types with direct integration to the court's database, including data and document transfer from lower courts.
- Standardize court operations and procedures across appellate courts, where possible, through the use of automated tools and assistance.
- Integrate to emerging court community document management and production systems and standards.
- Populate Public Access and the statistical central repository with Appellamtion data. Populate emerging Central Case Index and Central Document Repository systems.
- Provide other forms of public access to appellate case information, decisions, calendars, dockets, and documents.

- Continue enhancement and improvement of Appellamtion, including workflow management, issue management, work product management, and integration with statewide e-filing through AZTurboCourt.
- Provide support for case management information access and document access through hand held devices.

**PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

- Enabled AZTurboCourt electronic case filing for all case types, both case initiation and subsequent filings, in the Supreme Court and Court of Appeals, Division One, including on-line payment of fees.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New		High
Enhancement		On-going	×	Medium
Frontier		Replace/Upgrade		Low

**PROJECT DESCRIPTION**

The Appellamtion Project began in 1997 as a joint effort between ITD/AOC, the three appellate courts, and Progressive Systems, Inc. (PSI). The goal of the project was to build a comprehensive automated system that met the unique case tracking and reporting requirements of the state’s appellate courts. The system utilizes modern client/server technology and is capable of integration with lower court applications also provided by the same vendor.

In 1999, ITD/AOC assumed full responsibility for the completion of the system and its deployment. At the present time, the application has been implemented successfully in the Supreme Court and in the Court of Appeals, Division One.

The Supreme Court, the Court of Appeals, and the Appellamtion development team plan continued development of enhancements and functional modules. A number of automated interfaces and integration activities continue to further the appellate court’s e-Court initiatives. These include providing enhancements for various forms of electronic filing and management of electronic documents. Other enhancements are planned to improve workflow in the courts and expand public access to court and case information provided over the Internet.

# CORE SOFTWARE & SUPPORT

## ~AZTEC~



### PROJECT GOALS AND ACCOMPLISHMENTS

#### PROJECT GOALS

- Provide AZTEC maintenance releases as needed to align with legislative changes.
- Provide support and maintenance for automation until AJACS implements in all ACAP courts.

#### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2011

- Implemented AZTEC Version 1.5.5, providing the ability for LJ courts to automatically create receipts for Defensive Driving Diversion fees.
- Developed and implemented AZTEC Version 1.5.5.1 to enhance and correct certain functions associated with Defensive Driving.
- Continued reviewing and programming for Remedy tickets related to AZTEC issues.
- Continued assisting the Limited Jurisdiction EDMS/Disconnected Scanning rollout.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New		High
Enhancement		On-going	×	Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

AZTEC is the legacy case and cash management system deployed throughout 134 of Arizona’s limited jurisdiction courts. AZTEC software maintenance is an internally supported project. Though development staff and software support were originally provided by a vendor, the Arizona Judicial Branch obtained rights to the software for use in Arizona courts and began directing and performing the development of enhancements and modifications. The remaining AZTEC development team continues to address deficiencies in the system and provide enhancements, balanced by end-of-life considerations, until the next-generation LJ case management system currently in development is deployed throughout the state.

The Commission on Technology re-affirmed its approach to AZTEC developed during the strategic planning for Fiscal Years 2004-2006. The application long ago reached the end of its lifecycle and has already been replaced by a vendor system at the general jurisdiction level.

The continued operation and maintenance of AZTEC is for support of required needs and functions of the courts during a several-year migration to the new AJACS system. In the meantime, the on-going support and maintenance of the basic case and cash management system for Arizona courts remains a priority. Considerable investment has been made to-date in first-generation systems and now that they are implemented throughout the Judicial Branch and improved for users over time, they must continue functioning fully to support their users during transition to second-generation systems.

The major focus of the AZTEC team during FY 2012 was implementing system enhancements to allow courts to auto receipt Defensive Driving diversion fee payments as well as continuing to support integration with a centralized document management system for smaller LJ courts.

# CORE SOFTWARE & SUPPORT

## ~JOLTS~



### PROJECT GOALS AND ACCOMPLISHMENTS

#### PROJECT GOALS

- Resolve problems and respond to customer questions and inquiries via Remedy tickets.
- Complete system enhancements when required by court rule or legislation.
- Create new, and modify existing, Crystal reports as requested by counties.
- Provide data for annual reporting requirements, including AOC Annual Report, Arizona Courts Data Book, Juvenile Performance Measures, and Juveniles Processed in the Arizona Court System, ad hoc reporting, and research.
- Continue to increase the automated sharing of juvenile justice information with other state and county agencies through the use of the data warehouse and other means.

#### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Provided continued support for the JOLTS system in the 13 rural counties, including facilitation of statewide user's groups/workgroups, training, and completion of urgent system fixes as well as producing new, or modifying existing, Crystal reports.

#### SNAPSHOT

CLASS		STATUS		RISK
Utility	X	New		High
Enhancement		On-going	X	Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

Written 25 years ago, the Juvenile Online Tracking System (JOLTS) is still considered one of the most comprehensive juvenile court automation systems in the country. Juvenile Probation, Detention and Court Staffs in the 13 rural counties and Pima County use JOLTS today. Centralized support at AOC is provided to the 13 rural counties while Pima County has and maintains its own version. A third juvenile probation system, iCIS, is used by Maricopa County. All counties provide electronic data to the JOLTS Youth Index, statistical database and the Juvenile Data Warehouse system.

The JOLTSaz project is in progress as a partnership between AOC and Pima, each building specific functional modules of the new system. JOLTS will be decommissioned once the rollout and implementation of JOLTSaz is complete. Current functionality in JOLTS needs to be enhanced and entirely new functions need to be developed. The cost to maintain JOLTS with its current AS/400 platform is expensive and continues to increase each year. It is also increasingly difficult to find skilled Cobol/DB2 programmers to support this legacy application.

JOLTS application support and maintenance must continue during the development, testing and implementation/rollout of JOLTSaz. Enhancements to the existing JOLTS system for the 13 rural counties will be worked only if required by court rule or statute. Remedy tickets for JOLTS problem resolution are accepted based on the severity level established. Requests for new Crystal reports or modifications to existing Crystal reports are handled based on resource capacity at AOC.

# CORE SOFTWARE & SUPPORT

~JUSTIS~

## DATA WAREHOUSE



### PROJECT GOALS AND ACCOMPLISHMENTS

#### PROJECT GOALS

- Develop and implement a Data Warehouse Strategic Roadmap for off loading the transaction processing datamarts, i.e., FARE, CPOR, Public Access. Develop a project plan that entails analysis of new business processes, new architecture, and new data warehouse technology.
- Continue support for statewide collection of court data (AJACS, AZTEC and non-AZTEC) and add other court entities' data into the data warehouse.
- Support the interface to Public Access information for the public and other interested agencies.
- Convert current data warehouse web applications to the AOC standard, 3-tier architecture.
- Continue support for ad hoc reporting requests from the data warehouse.
- Continue to support the central repository as an on-going project.
- Move dashboards (eTrac, iTrac, sTrac, DUI, FTG, etc.) to a new technical architecture.

#### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Continued support of the Public Access Victim Notification application using Maricopa Superior Court extracts / active criminal cases.

- Continued support of Interim FARE interfaces with Chandler Municipal, AZTEC courts and all 25 Maricopa Justice Courts for the Fines, Fees, and Restitution Enforcement (FARE) program.
- Implemented FARE in two superior courts (Pinal and La Paz) through the AJACS CMS.
- Continued support of full FARE interfaces with Phoenix Municipal Court.
- Continued support of the TTEAP process for FARE.
- Finished the roadmap for data warehouse replacement and the corresponding design of the Central Case Index (CCI) called for in the roadmap.
- Began CCI development with a focus on enterprise services that can be reused by many applications.
- Moved the data store used by the public access website from Informix to SQL Server.
- Implemented SQL Server Integration Services (SSIS) as the enterprise standard ETL tool. Provided internal training to AOC staff responsible for building the CCI using this tool.
- Implemented sTrac for GJ courts in Pinal and Mohave using the ROAM technology which is also part of the overall CCI architecture.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New		High
Enhancement		On-going	×	Medium
Frontier		Replace/Upgrade	×	Low

## PROJECT DESCRIPTION

The data warehouse functions as the central data repository for the judicial branch and has become the primary statewide interface between the case management systems (CMS) and other agencies. Interfaces were created in response to a need to collect statewide data in a central location and provide for formatting that would enable the data to be used in a consistent way. Based upon the need of specific projects, specifications were created to describe how to transfer information to/from the data warehouse and programs written to allow the information to be processed and loaded into the data warehouse. A statewide view of court information is the result. Some of these interfaces included FARE, CPOR, and Public Access.

The data warehouse provides the following court case information:

- A centralized case and person search capability for court personnel.

- The data collection mechanism for the publicly accessible court information via the Internet.
- The data collection mechanism for the statistical database needed to respond to both executive and legislative requests for statistical information about court activity.

The benefits of maintaining the data warehouse are:

- Improved quality of service to the public by providing other government agencies, such as DPS, DES, and DOR with more accessible electronic information to improve and support their business processes.
- Improved centralized access to information, such as criminal history, orders of protection, domestic violence, etc., for law enforcement.
- Improved electronic integration with the legal community and other justice-related departments and agencies. Improved quality and quantity of data available to the AOC for analysis and research.
- Improved customer service by providing higher quality of data and case management and greater public access to information.

One of the main benefits of the data warehouse is to provide court data for statewide analysis and statistical reporting. The report generation is in accordance with the policies established by the Arizona Judicial Council.

The data warehouse is the foundation for the development and support of FARE, part of the Penalty Enforcement Program. The data warehouse provides the main interface between the courts (AZTEC and non-AZTEC), external agencies (MVD), and the service provider.

Statistical reporting data as well as other aggregates have been built into the data warehouse infrastructure to support other required analysis and planning. AOC can enhance the integrated central repository, with additional research to determine additional needs of the public, the requirements of new federal legislation for such things as a domestic violence index, and the local and state law enforcement needs.

The central repository, with its sTrac, eTrac, iTrac, statistical, and public access modules, is in production in all superior courts and selected limited jurisdiction courts. It provides court personnel the ability to view high-level summary information about their caseloads and also allows them to drill down to detail supporting the summary information. It provides tools to help courts better manage their cases.

A strategic roadmap specifies the direction and evolution of the data warehouse. The roadmap is being used to decouple the transaction processing functions from the pure data storage function of the warehouse and move it into the future in an effective fashion aligned with business goals.

# DEFENSIVE DRIVING ENHANCEMENTS



## PROJECT GOALS AND ACCOMPLISHMENTS

### COMPLETED PROJECT GOALS

- Implement new automated system replacing the legacy Defensive Driving School Tracking System (DDTS) application.
- Collect and report diversion fee data from schools to limited jurisdiction courts.
- Automate Defensive Driving School (DDS) receipting in the AZTEC case management system.

SNAPSHOT			
CLASS		STATUS	RISK
Utility		New	High
Enhancement	×	On-going	Medium
Frontier		Replace/Upgrade	Low

### ACCOMPLISHMENTS IN FY2012

- Completed Phase 2 to enable retirement of the AS/400 system that supported the legacy application and use of a web-based interface for defensive driving schools.
- Updated AZTEC CMS to perform mass receipting of diversion fees at the case level.

## PROJECT DESCRIPTION

This project responds to requirements brought about by House Bills 2001 and 2488, which amend Section 28-3393 of the Arizona Revised Statutes relating to defensive driving schools. Effective January 1, 2009, an eligible individual who elects to attend a DDS may attend any Supreme Court-certified school that complies with the court's automation and reporting requirements. The amendments preclude courts from using only "preferred provider" DDSs, upon the expiration of their current contracts with the schools.

In an effort to streamline the process of reporting DDS completions from all certified schools to all courts, the AOC centralized this functionality in FY 2010.

Phase 1 of the project continued to utilize the legacy DDTS application and the established AOC reporting processes at the DDS with new functionality added to capture DDS registrations. A new middleware application was implemented to pick up the registration and completion data from the DDTS application. This application then sends applicable records through a Data Warehouse validation process and creates XML messages for valid records which are sent to the appropriate courts' MQ queues. Invalid records are sent back to the DDTS system; the schools are notified and correct the bad records then retransmit them to the AOC. The application then transfers the data from AZTEC courts' MQ queues to the appropriate AZTEC database tables. After the records are transferred to AZTEC, an internal process performs necessary updates to all impacted cases. Phase 1 was implemented on December 31, 2008.

Phase 2 of the project has now been implemented in production. It includes the replacement of the entire DDTS application used by the defensive driving schools. The legacy AS/400 system is being retired. The new web-based user interface is implemented for use at the schools. This allows for the capture of all data necessary to report on court fees that are collected by the schools and transferred to the court of jurisdiction. Additional functionality has been added to the AZTEC case management system to perform mass receipting of DDS-collected diversion fees at the case level.

# ELECTRONIC CITATIONS



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Implement a standard process and mechanism for electronic transfer of data from law enforcement agencies to the courts.
- Implement a standard process and mechanism for electronic transfer of data from the Prosecutor to the courts.
- Implement the functionality to import and post electronic data from vendors, law enforcement, and prosecutors into the court case management system (CMS).
- Obtain secure communication paths from citation originators to court case management systems.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Worked with various vendors to implement handheld devices in three law enforcement agencies, with more in the planning phase.
- Implemented DPS AzTraCS eCitation in 54 AZTEC Justice Courts and 23 total municipal courts.
- Continued to work with vendors to implement photo radar, red light running, and other fixed photo enforcement systems throughout Arizona.
- Provided support for issues and problems that arose during e-citation processing.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New	×	High
Enhancement	×	On-going		Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

In FY 2006, AZTEC began to be opened to allow an XML data stream from e-citation devices, photo radar, and red light systems to automatically initiate cases. This paved the way for full electronic case filing while awaiting implementation of next-generation case management systems. This project benefits the court community by building the foundation for automated case initiation for bookings, citations, and filings into the AZTEC database, thereby decreasing the amount of data entry the court clerk would need to do for case initiation and simultaneously improving the accuracy of case data.

The initial integration project involved the courts (via AZTEC) and Flagstaff/Coconino City/County Law Enforcement as well as prosecutors (via their records management systems). The project includes creation of data transfer interfaces and standardization of transaction structures. The transactions include data for three different types of case initiation: Citation, Booking, and Long Form Complaint data. A web interface allows the court clerk to review the data and supplement it (if needed) then to post the data into the AZTEC CMS.

Another facet of the project includes providing electronic ATTC input to AZTEC from law enforcement officers' handheld devices. There are now 28 courts that have partnered with their local law enforcement agencies to provide officers with handheld devices containing the electronic ATTC form. The data is transmitted to the court network via the DPS network for upload to AZTEC.

As part of the preparation for the initial DPS TraCS implementation, AOC Legal provided a verbal opinion that courts must be in direct possession of electronic citations, not relying on vendors or law enforcement agencies to provide judges with e-citations on demand. Ramifications of this opinion could be large, so discussions continue regarding the true business needs of courts in relation to electronic citations, especially whether a stream of data constitutes a "filing" under the rules and what court processes require a defendant's signature. It is possible that AOC will have to construct a massive central repository to store certain citations from DPS and vendors.

Further complicating matters, DPS' agreement with TraCS licenses the software for the state as a whole. As DPS makes TraCS increasingly available to local law enforcement, judges must look multiple places to locate a ticket, depending on what law enforcement agency filed it. The alternative requires AOC to gather citations from all

local law enforcement locations in addition to DPS. These business issues continue to be addressed.

The DPS AzTraCS application has been deployed to all DPS vehicles statewide.

# ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS)



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Assist courts to implement the electronic document management (EDM), imaging, and electronic filing systems that are compatible with adopted standards.
- Provide guidance to courts regarding electronic records.
- Identify short-and long-term funding resources to support electronic document management, storage, and archiving.
- Support statewide e-filing by creating a central document repository (CDR) for court filings received through an online interface, then replicated following acceptance by clerks. Provide reliable method of exchanging documents from one OnBase system with another.
- Provide a centralized EDMS for use by smaller, limited jurisdiction courts.
- Implement the OnBase imaging solution throughout the Administrative Office of the Courts and in the Supreme Court.
- Implement a records retention schedule integrated with AZTEC to remove records from the LJ EDMS once case has been completed for the period required by court rule.
- Integrate OnBase with existing, standard case management systems (AJACS, AZTEC, Appellamation).
- Implement Document Transfer Module with existing OnBase Systems to facilitate the CDR in support of AzTurboCourt and public access to court records.

**PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

- Continued supporting OnBase, the state-standard EDMS, in 14 of 15 Superior Courts.
- Designed development, test, and production OnBase systems in support of LJ EDMS. Performed extensive configuration, testing and implementation activities.
- Continued the deployment of disconnected scanning by implementing 27 total limited jurisdiction courts (21 percent of total possible) in conjunction with LJ CMS team and AOC Technical Support. . Courts’ participation remains voluntary; each court is required to pay an annual subscription fee assessed for each scanning device installed.
- Accomplished detailed set up and document transfer subscription for each LJ court adopting disconnected scanning
- Documented and refined training and scanner hardware installation processes and procedures as additional court disconnected scanning implementations progressed throughout the year.
- Completed efforts to integrate the disconnected scanning solution with the LJ AJACS test environment.
- Revised ACJA code sections related to scanning and storage of electronic documents. Proposed a new ACJA code section governing the level of detail at which case-related electronic documents must be stored in a court EDMS.
- Continued testing electronic signature and biometric devices for integration with AJACS.
- Began investigation into reducing total number of OnBase environments managed by the AOC while still providing current service levels to users.
- Reviewed formal requests from individual courts regarding destruction of paper records where equivalent electronic records exist, pursuant to ACJA § 1-507. Received approval for procedures for destruction of administrative records (with AOC Legal Services).
- Initiated discussion with Court Services’ Court Compliance Unit about adding criteria for protection of electronic records to standard audit checklist.
- Negotiated extension and modifications to statewide contract to procure and support OnBase systems for courts .

SNAPSHOT		
CLASS	STATUS	RISK
Utility	New	High

Enhancement		On-going		Medium	
Frontier	X	Replace/Upgrade		Low	

## PROJECT DESCRIPTION

Electronic Document Management (EDM) includes the processes and the environment where documents are created, stored, managed, located, retrieved, and viewed electronically. Electronic documents and e-records are rapidly replacing traditional media (paper). Electronic documents are becoming common in the day-to-day business of the court, by court staff, other justice-related agencies, and the public.

An electronic document management system (EDMS) is generally made up of several different technologies that must be integrated, including imaging, electronic filing, workflow management, case management system applications, COLD, and database management.

The Judicial Branch realizes that the needs and benefits of Electronic Document Management extend throughout the criminal justice system and will collaborate with other agencies to develop a model that satisfies system-wide requirements as well as those of the courts.

The current court strategy is to:

- Assist courts in developing alternatives to their records storage and paper case file routing/tracking challenges.
- Develop documentation and State-level expertise to assist courts in selecting the best model for their environment while remaining non-proprietary and capable of storing and sharing documents between and among courts, other government agencies, the legal community, and litigants.
- Provide guidance to courts having EDMS regarding destruction of paper court records for which images exist as well as retention of electronic records.
- Provide a central solution that significantly reduces the barrier to entry for limited jurisdiction courts desiring to digitize paper records and accept electronic case filings.
- Provide a central second repository for documents and a reliable transfer method to and from standalone systems to support business continuity, e-filing, public access, and to enable destruction of paper records.

There is a strong interdependence between this and other strategic projects. For example, the electronic filing project requires that an EDMS base be present to store filings. The Public Access to Case Information and Documents project relies on the existence of a repository of documents from which to fulfill requests. Electronic authorizations and signatures will also play a role. Certification that the electronic original document is actually the signed and unaltered original document will be important. Technologies and processes to provide this assurance must be put in place.

An ever-increasing number of Arizona courts at all levels are using imaging and electronic document management systems. All Superior Court Clerks and clerks of several larger limited jurisdiction courts have now implemented full-featured EDM. Focus remains on smaller, limited jurisdiction courts that desire to adopt EDMS but have insufficient resources to purchase and maintain a standalone system.

There is clear need for the EDMS initiative as well as a receptive environment. Because storage and paper handling has reached a critical level, there is a realization of an urgent need in many courts. Both the public (especially the media) and Arizona Bar have expressed interest. A renewed vendor interest in the Arizona market has caused some additional visibility. With the introduction of digital signature legislation in Arizona, the policy environment is in place to support electronic documents.

There are, however, legitimate concerns about privacy. Having all court documents in electronic format and easily disseminated over the Internet, thus making court documents generally accessible, removes the longstanding “practical obscurity” of public court records. The Arizona Judicial Council team reviewed the court’s public records policy, Supreme Court Rule 123, and enacted additional rules to balance demands for increased access to public information with necessary protection of citizen privacy in digital court records.

Over the past few years, statewide models for electronic document management and electronic filing have transitioned from design to reality and taken a more federated flavor to spur rapid adoption of a statewide e-filing process in the Arizona.

The COT e-Court subcommittee has focused on using a vendor solution to accomplish statewide e-filing in Arizona for all courts and all case types. Arizona Code of Judicial Administration (ACJA) Sections 1-504 and 1-506 have been updated to direct a more uniform approach to document management and e-filing. E-Court is overseeing the business process needed to implement that uniform approach.

With so many courts creating e-records and having the ability to share those with other courts and justice partners, emphasis is necessarily shifting to protecting the integrity and availability of those records. Many courts employing imaging do not yet meet the requirements of ACJA 1-506 for electronic filing, having neither the funding nor technical know-how required. AOC is undertaking, as a corollary project to e-filing, creation of a central case index (CCI) and central document repository (CDR). For courts supported by the AOC, this environment will provide a second spinning copy of electronically filed court case documents and serve as the gateway/repository for public access to court documents per Rule 123 criteria. For courts performing their own support, the CCI will catalog the locations of the accepted records on clerks’ systems in order to pass requests directly to those systems for fulfillment.

But, since e-filing applies to all case types and all courts, the LJ level cannot be overlooked. EDMS is a pre-requisite to acceptance of electronic documents by LJ courts. The cost of procuring then implementing and maintaining even a minimal functioning local system in all LJ courts is prohibitive (over \$4 million). Waiting for cities or counties to implement digitization efforts for local courts to join will hold off e-filing for years. The solution is disconnected scanning: a way to leverage a central system among over 100 local courts in a way that does not consume all available bandwidth

during the workday by storing images scanned until after business hours and making them available to courts the following morning. The central system has been constructed and integrated with the AZTEC case management system, the Central Document Repository, and AZTurboCourt to reduce the burden on local courts.

As imaging processes mature, Clerks have become disillusioned because the initial promise of a reduced workload and storage space are not being realized. Through the e-Records Subcommittee of the Limited Jurisdiction Courts Committee they requested clear direction regarding removal of paper records where electronic reproductions of them exist, especially in limited jurisdiction courts, since they are not courts of record. That direction has been provided in ACJA 1-507, approved December 10, 2008, and revised January 11, 2012, to include administrative records of the courts.

Activities already completed for this multi-year project include:

- Establishing pilot projects to test the adopted standards and guidelines for electronic filing and electronic document management.
- Establishing electronic document management models for different types of courts.
- Leveraging State support and procurement by identifying a limited product set to be used statewide.
- Identifying potential short-and long-term funding resources to support the project.
- Enhancing the ACAP case management systems (AZTEC & AJACS) to recognize and manage electronic documents.
- Identifying a subscription model for disconnected scanning to reduce the barrier to entry for smaller LJ courts.
- Identifying and securing the funding necessary for construction, deployment, and ongoing maintenance of the centralized LJ EDMS.

Activities that must still be undertaken include:

- Organizing resources - human, financial, expertise, etc., to support the completion of the initiative.
- Enabling full e-filing functionality in new CMSs under development.
- Implementing an electronic filing model that can be deployed throughout the Judicial Branch for all courts and all case types.

In addition to executing the technical tasks, the Judicial Branch is also endeavoring to prepare courts and the public for this paradigm shift from paper to electronic documents. Education of court staff, the legal community, and the public is getting underway. CIO Karl Heckart has hosted a statewide educational broadcast covering the topic, field trainers have been briefed, and various publicity flyers have been developed and distributed around the state.

The investment is considerable and the judiciary is proceeding with caution, but EDMS is clearly a “must have” rather than “nice to have” tool.

# ELECTRONIC FILING



## PROJECT GOALS AND ACCOMPLISHMENTS

Electronic Filing or “e-filing” is a composite project that makes use of portions of other individual projects necessary to enable filing of documents and data into courts. E-Filing in courts stems from adoption of the Uniform Electronic Transactions Act (UETA) by Arizona (A.R.S. 44-7001) to facilitate and promote commerce and governmental transactions by validating and authorizing the use of electronic contracts, records, and signatures.

AZTurboCourt is the Court’s designated statewide e-filing system. AZTurboCourt’s main components include the Electronic Filing Service Provider (EFSP), Electronic Filing Manager (EFM), and an optional Clerk and Judge Review application for use with case management systems (CMS). The EFSP (described in detail in the Internet Public Interactive Service section of this document) enables users to interact with the e-filing system described in this section. The EFM stores and transmits case file information to and awaits, records, and communicates responses from the destination or “target” case management system. The Clerk and Judge Review application enables clerks of the court to accept or reject case file submissions. Back-end facilities keep track of registered users, filed documents, reviews within the court, and cases available to be viewed by the public.

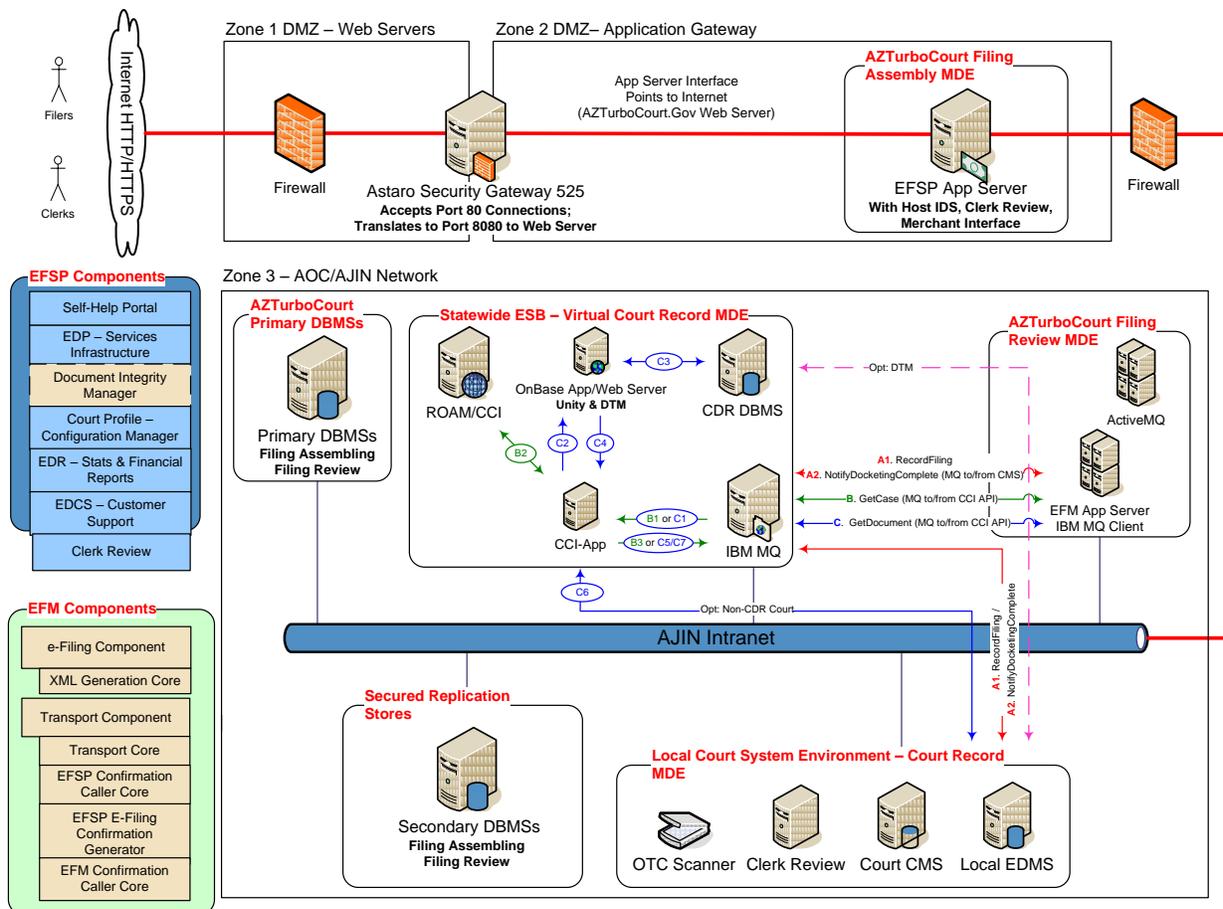
Related projects described in prior plans include court-to-court records transfer (C2C) and justice partner filings on criminal cases into the Arizona Supreme Court and Court of Appeals Division One (ACE). ACE was retired in 2010 after AZTurboCourt was configured to accept Arizona Supreme Court and Court of Division I initial and subsequent case submissions.

The AZTurboCourt technical design diagram (below) highlights the various components that are either dedicated to the e-filing system or play a role in the e-filing system’s operation. Some of the components highlighted also support non-e-filing applications and are part of the shared services infrastructure. The EFSP, EFM, and Clerk/Judge

Review functions (and their corresponding databases) are dedicated to supporting e-filing services. The EFSP represents the AZTurboCourt “store front” or customer front-end. The EFM and Clerk/Judge Review components represent the back-end components that support court processes. Individual users of the AZTurboCourt e-filing system (e.g., case parties, attorneys, document preparers, law enforcement agencies) only have direct access to the EFSP portion of the e-filing system. The EFSP then facilitates the requisite communications to and from the EFM.

Also facilitating communications to the EFM are the target CMSs. The target CMSs receive information from and return information to the EFM via various “middleware” components, namely IBM MQ and the AOC’s Central Case Index (CCI) and Central Document Repository (CDR). IBM MQ transports/routes messages between the EFM and target CMSs. The CCI and CDR maintain either the location of successfully filed case documents or copies of actual case documents. The CCI-CDR environment serves two essential purposes. First, they provide a central location through which users of AZTurboCourt can quickly locate and retrieve secondary copies of the official court record. Second, the combined systems mitigate the need for direct access to the target CMSs. This design approach significantly reduces AJIN network traffic and system overhead on each of the target CMSs.

AZTurboCourt Logical Design Diagram  
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## PROJECT GOALS

### ***DOCUMENT SCANNING / ELECTRONIC DOCUMENT MANAGEMENT***

- Assess, design, and deliver document scanning solutions for small, medium, and large-sized courts that complement clerk-accepted electronically submitted case file information.
- Automate, where possible, the capture of metadata, forms data, and document images as information is scanned. Investigate bar coding documents to significantly reduce, if not eliminate, manual entry of case file information.
- Create a central repository for electronically submitted court filings, documents, and images accepted by clerks statewide.

### ***LITIGANT FILING***

- Create a Web-based service through which litigants (attorneys and self-represented) submit Arizona court case files online, thereby eliminating the need for physical paper handling.
- Demonstrate feasibility of a standard, court-provided interface by which litigants can submit filings using a common e-Filing Service Provider (EFSP).
- Leverage the court-defined data standards in all jurisdictions within and between the e-filing system and target CMSs in support of the CourTools court performance reporting initiative.
- Speed adoption of a statewide e-filing system by implementing a vendor-developed and supported:
  - Electronic Filing Manager (EFM) capable of supporting multiple jurisdictions and licensed/owned by the court
  - Clerk review system
  - Internet-based EFSP portal that supports both free-form pleadings and form-based filings.

### ***LAW ENFORCEMENT FILING***

- Expand electronic filing beyond pilot projects in select courts to include records management systems and citation generating systems such as handheld devices, red light running traffic monitors, and photo radar systems.
- Expand electronic filing beyond the individual case file submission user interface to include a bulk-filing interface for Records Management Systems and other eligible EFSPs that comply with the AZTurboCourt bulk e-filing interface specification.

### ***CLERK/JUDGE REVIEW / CASE MANAGEMENT SYSTEMS INTEGRATION ( AJACS, APPELLAMATION)***

- Create an integrated Clerk and Judge Review application for the AJACS CMS that enables clerks to accept or reject case file submissions and transfer the appropriate data to the CMS.

- Enable court users and/or the CMS itself to initiate and/or provide automated responses to filers through the Clerk Review module.
- Develop XML message interface standards for use between AZTurboCourt and custom-developed Clerk/Judge Review and the courts' CMSs.

#### ***REGISTRATION SYSTEM***

- Create a centrally located Registration System that supports the Court's enterprise public-facing online services.
- Expand the support for third-party authentication and the security measures required for the Public Document Access System.

#### ***MQ INTEGRATION***

- Situate IBM MQ as the message transport and exchange mechanism between the AZTurboCourt e-filing system, specifically the Electronic Filing Manager (EFM), Central Case Index (CCI), and target Case Management Systems (CMSs).
- Route e-filing-related inter-system messages through IBM MQ.

#### ***ONLINE PAYMENT PORTAL***

- Create a mechanism through which payments for e-filing, document access, and other Court enterprise public-facing online services can be made (e.g., credit cards, automated check handling).
- Exchange transaction data with selected banking institution(s) and back-end target court CMSs to ensure that transactions can be completed and that appropriate audit trails are instituted.
- Provide organizational oversight and ongoing management of payments made through the Court's enterprise public-facing online services.

#### ***JUDGE INFORMATION MANAGEMENT MODULE***

- Assess, design, and deliver judge information management capability that assists with the day-to-day activities of the judiciary, integrated with target CMS automation efforts.
- Obtain input from sitting judges to ensure that the design adopted streamlines their work on the bench compared to paper processing.

#### ***FUNDS SETTLEMENT SYSTEM***

- Facilitate the transfer of e-filer payments from an AOC "Settlement" account to the various court accounts.
- Reconcile the remittances reported by the Court's online merchant, in the form of receipt totals, to the payment receipts reported by the Court's enterprise public-facing online services.

### ***CENTRAL CASE INDEX (CCI)***

- Optimize data retrieval times for the e-filer while minimizing the use of available AJIN bandwidth and other mission-critical system resources.
- Supply local CMS case data and document pointers to the CCI in support of all applicable Court enterprise public-facing online services.
- Create specifications by which courts interface their respective CMSs to the CCI-CDR environment.

### ***CENTRAL DOCUMENT REPOSITORY (CDR)***

- Maintain either pointers to or copies of specific document images associated with case file information contained or referenced within the CCI.
- Optimize document retrieval times for the Court's enterprise public-facing online services while minimizing the use of available AJIN bandwidth and other mission-critical system resources.
- Store a "copy" of most case file documents and standard metadata supplied by back-end target court EDMs and CMSs.
- Create specifications by which target courts and eligible third-parties may interface their respective systems to the CCI-CDR environment.

## **PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

### ***DOCUMENT SCANNING / ELECTRONIC DOCUMENT MANAGEMENT***

- Continued adding limited jurisdiction courts to the centralized electronic document management system using the subscription model, bringing to 22 the total number of courts that have been trained and implemented.

### ***LITIGANT FILING***

- Deployed Limited Jurisdiction Small Claims full e-filing pilot project in four of the 25 Maricopa County Justice Courts. Litigants can initiate and respond to case submissions.
- Implemented a full e-filing pilot project of the statewide version of the General Jurisdiction Civil application (case initiation and subsequent filing).
- Mandated General Civil subsequent e-filing in the Superior Court in Maricopa County.
- Completed testing of the AZTurboCourt (intelligent forms) Domestic Relations Divorce/Separation application. The Superior Court in Coconino County will be the first court to support the application.

### ***LAW ENFORCEMENT FILING***

- Deployed AZTraCS application to all DPS patrol vehicles statewide.
- Continued to deploy handheld devices for local law enforcement use; 28 courts now accept electronic complaint forms from officers.

### ***CENTRAL CASE INDEX (CCI)***

- Began utilizing ROAM to construct the central case index (CCI) for use in the e-filing application.
- Began expansion design of CCI in support of other Court enterprise public-facing applications

### ***CENTRAL DOCUMENT REPOSITORY (CDR)***

- Added security to prohibit 'sealed' or 'restricted' documents from being retrieved by the OASIS Electronic Court Filing (ECF) LegalXML 'GetDocument' call from AZTurboCourt, ensuring compliance with Supreme Court Rule 123..
- Prepared for expansion of CDR Document Transfer Module (DTM) to all rural superior court standalone OnBase systems.

<b>SNAPSHOT</b>				
<b>CLASS</b>		<b>STATUS</b>		<b>RISK</b>
Utility		New	×	High
Enhancement	×	On-going		Medium
Frontier	×	Replace/Upgrade		Low

## **PROJECT DESCRIPTION**

### ***STATEWIDE E-FILING PROJECT DETAILS***

In the spring of 2008, the Arizona Judicial Council and Chief Justice of the Arizona Supreme Court, recognizing the opportunities and need for the next evolutionary step in court automation, directed the Administrative Office of the Courts to initiate a project to develop a statewide electronic case filing system and implement a pilot court by the second quarter of 2009. Supreme Court Chief Justice Ruth McGregor elaborated four key directives to guide this important initiative:

1. The Branch must not create a fragmented system that leaves some courts behind due to their location or volume.
2. E-Filing must apply to all types of cases in the state, including those for which no filing fees exist.
3. Arizona must use a court-powered and court-managed system. No vendor must own or control court documents.
4. The solution chosen must be a first-class system, capable of supplying all the services that court users need, including case initiation and service of process.

In response, the Arizona Judiciary is constructing an Arizona Court Filing Service which will provide citizens of Arizona and clients of the courts a single portal with which to conduct business, no matter the court or type of case. This portal will allow attorneys and parties to cases in the courts to rapidly access and file information pertinent to those cases in any court in a seamless, easy to understand way.

The Judiciary has made significant investments in the automation of the courts. These investments lay a significant foundation for the envisioned electronic filing service. However, several key components are necessary to complete and integrate the technologies into a cohesive and reliable system. The court is, therefore, pursuing a partnership with a company having proven electronic filing experience to construct, deploy, and operate a public facing Internet electronic filing portal that integrates with court automation systems and comports with the directives of the Arizona Chief Justice.

Electronic filing focuses on exchanging case file data, documents, and images, including appropriate and validated indexing information, with case management and other court-critical information systems. The Electronic Document Management (EDM) initiative seeks to supplement these court-critical applications, with document and image storage support. EDM focuses on the processes and the environment for electronic document creation, storage, management, retrieval, and archiving. Courts currently use imaging systems to digitize documents received on paper. The digitizing process today typically requires staff to manually feed documents into imaging systems (scanners). The most effective and efficient method over the long term is to implement electronic filing and thus remove the need to manually digitize information. Rules and guidelines for electronic filing continue to be examined by the Commission on Technology's e-Court Subcommittee. Supreme Court Rule 124, which governs electronic filing, is currently being revised to support production implementation of e-filing statewide instead of jurisdiction-by-jurisdiction implementations.

The historical strategy has been to:

- Assist courts in developing alternatives to their records storage and paper case file routing/tracking challenges.
- Examine and apply the lessons learned from electronic filing pilots and projects to a unified, statewide approach.
- Keep current with electronic filing research and evaluate what is successful nationally.
- Continue to work with the national effort to develop common e-filing message schemas based on Global Justice XML Data Dictionary (GJXDD), Organization for the Advancement of Structured Information Standards (OASIS) LegalXML, and National Information Exchange Model (NIEM) specifications.
- Continue to work with the OXCI national group to develop XML processing interfaces to case management systems.

The Arizona Supreme Court, Administrative Office of the Courts, is a member of the OASIS group and has been supporting their efforts towards standardization in the use of XML for court filings nationwide. ACJA § 1-506 directs the courts to embrace Extensible Markup Language (XML) as well as portable document format (.pdf) for

electronic filing submissions. The Commission on Technology has now approved two specific XML formats for text-based electronic documents: OpenOffice XML (.docx) and OpenDoc Format (.odt).

The goals of electronic filing are to:

- Increase the effectiveness of the Court and criminal justice system;
- Reduce costs;
- Improve service to the public;
- Study, coordinate, and plan the transfer of case records electronically to, from, and between courts;
- Craft a unified statewide model for electronic filing; and
- Promote the transition to full production of pilots in different courts to the statewide model.

Historically, there are some long-running pilot and experimental projects in Arizona courts for electronic filing. They include:

- Pima County Consolidated Justice Courts: Small Claims electronic filing.
- Arizona Court of Appeals - Division Two - Electronic Document Management project, electronic transfer of court records on appeals from various superior courts, and litigant e-filing (“e-filer”).
- Maricopa County Superior Court’s effort to allow multiple filers to write data into their EDMS and CMS via a standard XML interface.
- Central Phoenix Justice Court’s case management system interface for mass filing of forcible detainer cases (now referred to as eviction actions).

The introduction of digital signature legislation in Arizona paved the way for an environment to support electronic filing of documents. The courts adopted Rule 124 in the Year 2000 to provide for electronic filing. COT also approved the standards-based electronic transfer of records on appeal from superior courts to appellate courts.

The e-Court Subcommittee has submitted and COT has ratified a set of general principles to govern eventual solutions.

1. Approach: Courts should create a competitive, multi-provider environment under which any provider who meets the certification criteria will be able to file.
2. Court users should be presented with a common look and feel no matter the jurisdiction. No litigant will have to operate multiple systems to file in various courts in the state.
3. Courts are too resource constrained to provide extensive technical support themselves for filing attorneys and the public.
4. For automated filing, only one interface will exist per case management system. Data must be exchanged bi-directionally between case management and e-filing systems.

5. The path to success involves general consistency with national standards and cooperation between courts and private sector ventures.
6. Privacy and access issues must be adequately addressed.
7. While the conceptual model for e-filing includes criminal cases, the courts, not vendors, are responsible for criminal justice integration activities.

Several of these principles were tested in the ACE e-Filing Pilot Project undertaken for criminal case files destined for the Supreme Court.

In June 2008, Chief Justice Ruth McGregor challenged COT to craft a statewide model for electronic filing on an accelerated timetable that would respond to several overarching directives. The time was right for implementing e-filing because the activities associated with the electronic filing value chain were coming to fruition after years of effort:

- Completing implementation of EDMS in appellate and superior courts.
- Completing implementation of a development, test, and production message broker, i.e., Enterprise Service Bus.
- Completing the creation of a common XML message for electronic filing for all court levels and transaction types.
- Completing the development of production-grade, message broker-supported applications that facilitate the placing and retrieving of case file and citation data, documents, and images into and out of the Enterprise Service Bus environment.
- Identifying potential short- and long-term funding resources to support the project.
- Developing an electronic filing business model that can be deployed throughout the Judicial Branch.
- Converting hardcopy court forms into their online equivalents, preceded by court form conversions from Corel WordPerfect format to Microsoft Word format.
- Researching and processing the required changes to paper-based filing-related rules in Arizona courts.
- Preparing the courts and the public for a paradigm shift from physical paper to electronic document filings.
- Creating “cookbooks” that communicate to business partners what is needed to effectively engage in electronic filing with the courts.

In addition to various technical tasks, court staff, the legal community and the public are becoming more comfortable with living in an electronic world. Standards for things like structured document identification for use by the legal community are beginning to emerge.

As electronic document management systems and electronic filing have become more common across the state, the judiciary is creating a central filing index and access site for all electronic court documents using the Enterprise Service Bus. Creation of a public

filing “front door,” a single electronic filing repository, in lieu of individual court sites, supports a unified, statewide approach to e-filing; creates ease of access for the public to court case file documents; and improves costs, efficiency, and data security.

# ELECTRONIC SIGNATURE



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Identify the appropriate technologies to provide and assure secure access to the Arizona Judicial Information Network (AJIN).
- Identify the appropriate technologies to provide authentication and verification for electronic documents and transactions.
- Undertake a study of the existing statutes and court rules related to signatures and make recommendations for changes to support appropriate use of new technologies.
- Form a statewide committee of business and technology court personnel to develop recommendations for electronic signatures for internal court documents.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- The Clerk of the Superior Court in Maricopa County recommended a third-party product that creates non-alterable electronic signatures stored on documents in OnBase. It can be used to certify court documents, including warrants and quashes, for distribution to justice partner agencies using ICJIS. The product has been added to the statewide OnBase and Related Services contract and Enterprise Architecture table, replacing court-by-court efforts to identify third-party solutions of sufficient strength to meet justice partners' business requirements.
- Decisions regarding adoption of a comprehensive e-signature strategy continued to be deferred to the e-Court Subcommittee due to the high cost of a statewide solution and sense of relatively limited scope for such a solution.
- Numerous administrative orders continued to affirm the sufficiency of "/s/" notation for electronic documents submitted through the statewide e-filing

solution. Discussions were held about taking the next step of dropping “/s/” for signers logged into trusted, court-operated automation systems.

- Eventual revisions to Supreme Court Rule 124 will clarify the allowable indications for signature associated with electronic filings of *pro per se* litigants, legal counsel, and judicial officers. The rule language pre-supposes no statewide signature solution to be forthcoming and that “/s/” notation is unnecessary where two-factor authentication takes place on a court-operated automation system.

SNAPSHOT					
CLASS		STATUS		RISK	
Utility		New	×	High	
Enhancement		On-going		Medium	
Frontier	×	Replace/Upgrade		Low	

## PROJECT DESCRIPTION

As courts extend their networks, interacting with law enforcement and other agencies, it becomes necessary to assure that information sources can be validated. Further, courts must include some mechanism on electronic documents to provide for the function performed by signatures in the paper world. Key concepts are the same in both paradigms: document integrity, authenticity, and non-repudiation.

Passwords, tokens, and encryption are designed to secure access to networks, systems, and information. Electronic signatures on an electronic document, on the other hand, are designed to indicate that a document has been signed by the person who purported to have signed it. Digital signatures, which are a type of electronic signature, may also have a feature that can detect whether the original content of a message or document has been altered. Digital signatures based on PKI can serve both functions. The State of Arizona is embracing PKI (public key infrastructure) technology for digitally signing documents submitted to or by the state, using VeriSign, Inc. or Chosen Security, Inc as its approved certificate authority. This technology can be used by access control systems to verify identity and affix an electronic signature to an electronic document. It also provides for encryption of that document. The price per certificate remains high, however, even for non-proprietary solutions other than the Secretary of State’s approved certificate authorities.

The traditional ID and password can now be supplemented by biometric authentication methods like fingerprints, voiceprints, and retinal scans. For access, experts often note that authentication should consist of both something you have (a fingerprint, a secure ID token) and something you know (a password). Biometrics takes that approach one step farther by requiring something you are.

Courts are working closely with state and local law enforcement, local counties, and other state government agencies on selecting the appropriate technologies for both access and signatures. A proliferation of different accesses, passwords, and technologies creates confusion and becomes unmanageable for the ordinary user who requires access to multiple systems. Courts also desire to keep the cost of electronic filing as low as possible to prevent barriers to its use, especially for pro se litigants, while maintaining integrity, authenticity, and non-repudiation.

To that end, TAC re-reviewed digital signature technology using PKI in 2006. Their previous conclusions were reaffirmed -- that the business need and volume are still not significant enough to warrant the expense of implementing a complete digital signature infrastructure like PKI. For internally generated and signed documents of a routine nature, system access and security along with either a typed or imaged signature remain sufficient for the majority of courts nationally who are doing electronic signatures. The Supreme Court has issued administrative orders in support of e-filing allowing the “/s/” designation and a typed signature with valid system ID and password. The Superior Court in Maricopa County is also able to use server-side certificates to “sign” documents being issued for use outside the court. TAC recommended that this issue be revisited as the use of electronic signatures increases; they will periodically evaluate alternative approaches and research practices used in other state and federal courts.

An integration project where law enforcement issues electronic citations is well underway in many jurisdictions around the state. Going forward, the judiciary needs to address both the defendant’s and the officer’s signature. A citizen cannot be expected to have a digital certificate available during a traffic stop; so alternative signatures such as biometric or “facsimile” signatures are more likely to be used. The officer’s ID and password verification is considered sufficient electronic signature for transmitting electronic citations to the court. Officers print a record of the stop and provide that to the citizen for reference. The court is also required to print the electronic citation on demand. SmartPrint, a statewide solution for doing so for tickets produced by one vendor’s hardware/software has been implemented at the AOC. DPS has constructed a print capability for its TraCS software used statewide, as well.

On another front, several superior courts wish to implement electronic signatures for minute entries being distributed electronically. Minute entries can contain orders of the court and as such are documents that must be signed by the judge and maintained as a record in the case. With the implementation of electronic document management systems (EDMS), courts wish to file electronically prepared documents directly into the EDMS without first printing, signing, and then imaging that document.

The Arizona Supreme Court has previously ruled (in 1943) that “The signature may be written by hand, or printed, or stamped, or typewritten, or engraved, or photographed, or cut from one instrument and attached to another” in a case involving whether facsimile signatures of the treasurer on bonds were valid. It reaffirmed in CV-06-0280-SA that intention of authentication carries more legal weight than the presence of a name impressed upon paper. The opinion also reaffirmed the authority of Rule 124, which states, “[a]n electronically filed document constitutes the filing of the original written **and signed** paper under the rules governing practice and procedure in the courts of this state [emphasis added].”

Inside the court system, the issue is much more one of procedure than of technology. That may be reversed when contemplating materials passing from outside the court system to inside or vice versa. Effort is focusing on the easier task of getting electronic filings accepted within the judiciary before switching to the harder task of ensuring they are accepted outside the judiciary.

# ENTERPRISE ARCHITECTURE



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

Research, justify, and adopt additional enterprise standards as required to support leveraged development and development environments.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Completed review and design of development guidelines for ancillary and “bolt-on” modules for the AJACS CMS, JOLTS AZ, and APETS applications.
- Worked to establish automated testing and corresponding standards to increase the speed of regression testing and allow QA resources to focus on applications other than AJACS.
- Revisited the current messaging architecture used for system integration leveraging IBM WebSphere MQ. Identified areas that need improvement and initiated the design for those improvements.
- Assisted with a migration of APETS from Informix to SQL Server as the backend database to align with architectural standards.
- Began utilizing SSIS and SQL Server along with the Rapid Online Access Method (ROAM) product to enhance the central case index (CCI) to be truly enterprise and reusable for many key applications.
- Worked to mentor and educate court staff on SQL Server Reporting Services (SSRS) development practices. This is an attempt to foster the move away from Crystal Reports to align with the SSRS enterprise standard. Completed initial study for a statewide electronic warrant repository.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New		High
Enhancement	X	On-going	X	Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

Cooperative development and resource leveraging have become key strategies in automation development for courts. To facilitate those joint efforts, some standards have been adopted statewide.

The Arizona courts have identified a core set of applications that are maintained and supported at the State level. These include AJACS, AZTEC, JOLTS, JOLTSaz, APETS, Appellamation, and other products supported by third-party vendors, such as Jury+ and OnBase (refer to ACJA § 1-501). These software applications are supported centrally and changes are coordinated.

Some courts have technical staff to develop modules that address the special needs of a court. These modules are generally interfaced to the core applications. Often when other courts see these applications, they wish to implement the functionality, too. However, when new releases of the core applications are provided, many times there has been difficulty with compatibility of the locally developed modules and the new release.

To avoid or mitigate the difficulty, the courts have adopted a set of guidelines. Basically, if a local module is developed within the enterprise architecture and is coordinated with the application support staff at the State, vendor, or shared support level, core release developers will make efforts to protect those interfaces. They will, at a minimum, coordinate with technical staff for the change requirements, development, and testing that is necessary for the local module to function in the new release's environment.

Adopting an IT enterprise architecture, although intuitively a positive organizational direction, is often difficult. Standards are many times perceived as coming at the expense of freedom. However, with today's fast-paced technology demands, architecture is a strategic necessity. A mature IT enterprise must have the discipline to adopt and follow a consistent set of strategies, reference models, and exchange capabilities.

Per Gartner, the strategic goal of enterprise architecture is to position the entity to leverage technology in support of the business strategy and make technology the proactive enabler of an agile, responsive enterprise that can react in real time to

changes. Enterprise architecture will provide standardization and elimination of redundancy and complexity across the Arizona Judicial Branch.

The cross-jurisdictional nature of criminal justice activities supports adopting common architectures to facilitate integration.

The Judicial Branch must avoid being what Gartner Group describes as a “typical unarchitected e-government” where “multiple sets of customer channels, interfaces and systems are independently developed ... and require duplicative infrastructure and forced disparate access experiences for constituents.”

There is a lower cost to buy and support a limited set of products and standards; the judiciary can leverage both volume discount buying and maintain a less complex environment.

The standards, protocols, and products listed are prescribed for core, leveraged activities and applications among the courts statewide. Where there are unique local undertakings that cannot be leveraged, a court is free to go beyond the standards set. If sharable modules related to core applications are developed, then the standards should be followed. Non-standard products and applications are a challenge to support and can be a security concern. The “Distributed Component (Bolt-on) Module” documents the approaches to development of local, leveraged and standardized modules. To be sharable, supported in the statewide framework, or part of core-standardized applications, modules will be developed to the Enterprise Architecture Standards of the Arizona Judicial Branch.

Since the table of Enterprise Architecture Standards was approved by COT there have been few exception requests. Exception requests continue to focus on adoption of EDMS products that are already owned or part of a local entity’s system. The table of EA standards, “Enterprise Architecture for the Judicial Branch,” adopted through Arizona Code of Judicial Administration §1-505, was most recently reviewed, updated, and slightly expanded by TAC during FY12 then approved by COT. There were no changes to the “Distributed Component Development Matrix,” which is the guideline for the development of “bolt-on,” ancillary software modules. The standards can be found on the Commission’s web site at

<http://www.azcourts.gov/cot/EnterpriseArchitectureStandards.aspx>.

# INFRASTRUCTURE MAINTENANCE



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Complete the implementation phase of the Nortel PBX replacement project, migrating Supreme Court and AOC users to a VOIP unified communications solution.
- Continue to expand existing system monitoring capabilities into all application environments to enable nearly immediate notification of application error conditions.
- Continue consolidating legacy server platforms in the AOC Data Center to Windows-based technology.
- Begin the upgrade of all Windows SQLDB environments to either SQL 2008 SP3 or SQL 2012, depending on business requirements and cost constraints. Migration of larger DB environments to SQL 2012 will improve system availability during application rollouts.
- Continue upgrading all legacy Microsoft O/S environments to Windows 2008 R2.
- Continue equipment refreshes of older Windows-based hardware environments.
- Review and evaluate high availability options for Windows SQL database environments.
- Continue enhancements to the AJIN network infrastructure, including:
  - ongoing equipment refreshes at remote locations on the AJIN network, insuring ongoing reliability and increased security functionality;
  - replacement of the AOC Core Switch, providing improved performance and greater reliability to all AJIN users;
  - circuit migration onto QMOE technology, improving circuit bandwidth while reducing cost; and

- deployment of Dynamic Port Security, providing additional security to the AJIN network.
- Continue to support remote site locations in building moves and relocations.
- Continue to expand virtual machine and clustering technologies within the AOC Data Center to obtain cost savings and rapid automated system recovery for greater application availability.
- Redesign and deploy new 802.11“N” wireless technology for public and internal AOC users.
- Implement HP’s 3PAR SAN technology as a foundation for migration and consolidation of legacy SAN environments.
- Deploy a high availability solution for the courts’ enterprise application messaging system, IBM MQ and IBM Internet Pass Through (IPT).
- Deploy all project-related infrastructure required for
  - support of the CCI re-architecture project,
  - support of the AZTurboCourt e-Filing project,
  - support of the AJACS LJ CMS rollout; and
  - environmental changes related to three RFPs that are currently being bid as vendor partnerships: FARE, remote access to electronic case documents/data, and e-filing.

#### **PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

- Continued to expand virtual server technology into additional production, test, and development environments throughout the year. Completion of the migration of the JWI production environment increased the utilization of VM technology by 37 environments or 66 percent over FY 2011 numbers.
- Completed the design and procurement phase necessary to implement a high availability solution for the courts’ enterprise application messaging system, IBM MQ.
- Upgraded six AJIN locations to Metro Ethernet technology (QMOE), reducing annual network cost while increasing overall AJIN bandwidth.
- Performed and successfully passed an external security audit of the AOC networking environment.
- Replaced numerous infrastructure hardware systems to ensure continued supportability and enhanced reliability. Devices include DNS server, routers, and numerous domain controllers on AJIN.
- Completed a redesign and deployment of EMC backup infrastructure in support of overall growth, data recoverability, and business continuity.
- Completed the product analysis phase and procurement phase of a multi-year project to replace legacy SAN environments with current technology.

- Continued to expand hardware and application monitoring capabilities in support of the Windows-based environments including JOLTSaz, ROAM, CDR, AZTurboCourt, AJACS, and OnBase, just to name a few.
- Upgraded 14 production, test, and development SQL 2005 database environments to SQL 2008 SP2. To-date, 25 of 27 total environments have been updated.
- Upgraded all AOC Access Control Servers (ACS) with newer server technology, yielding greater performance and redundancy features, in support to all endpoint VPN environments.
- Began a multi-year project to implement Dynamic Port Security to all AJIN locations. This will enhance network security while improving reliability, manageability, and availability of communications.
- Upgraded core network infrastructure, in the state's southern region, adding redundancy features and faster processing.
- Implemented a Citrix environment in support of secured mobile computing at the courts.
- Implemented a new IBM Queue Manager in support of improved messaging between the AOC and DPS.
- Implemented channel level security, to the MQ infrastructure, providing enhanced messaging protection.
- Completed the design and procurement phase in the project to replace the Supreme Court's legacy Nortel phone switch with a Cisco unified communications solution.
- Completed numerous network and phone modifications in support of staffing relocations.
- Worked with various individual courts, assisting with server moves and network upgrades.
- Worked with the project teams to roll out and support
  - two major AJACS GJ production releases into the courts.
  - the APETS production migration to Windows technology
  - the New World financial system production releases.
  - the Phase I and II releases of AZYAS.
  - the Microsoft Project Server application and server upgrade.
  - the JWI system migration and application upgrade from the AIX environment to Windows technology.
  - the relocation of the Public Access application.

## PROJECT DESCRIPTION

### INFRASTRUCTURE MAINTENANCE

Infrastructure Maintenance continues to play a critical part of the overall shared infrastructure and shared services required to support the basic court operations and related programs on a day-to-day basis. Along with “Automation Training and Support” (PC deployment, field support, help desk), it represents the foundation of the Judicial Branch’s automation efforts. The key components include shared communications network and associated services (e-mail, business process workflow, and information access), data center, database administration, security, and disaster recovery. Infrastructure Maintenance primarily involves on-going maintenance and support, though various projects, to upgrade servers and network bandwidth.

The Arizona Judicial Information Network (AJIN) has been established as the means by which court data can be exchanged within and between counties and State-level agencies. As statewide strategic applications have been deployed, the capacity needs placed upon AJIN have risen considerably. Newer applications and devices connected on the network demand more intelligence, requiring upgrades of the established networking infrastructure. Thus, additional investment and planning must continue to be made in AJIN as long as it is to be the Judicial Branch’s enterprise network. Refer to the appendices for an identification of the servers and software (both desktop and server-based applications and server operating systems) that make up AJIN.

Major goals over the next several years include increasing security within the AJIN network environment; increasing capacity to remote locations using Cisco’s Wide Area Application Services (WAAS) and Network Area Storage (NAS) device, continuing to quickly expand onto QMOE technology giving the AOC greater bandwidth and more flexibility to grow the AJIN network; as well as enhancing anti-virus and malware protection. In addition, services will include growth in server virtualization and virtual machine mobility, server clustering technologies for rapid server recoverability, increased system and application error monitoring and alerting capabilities, and upgraded/expanded storage area networks (SANs) to improve integrated and automated business management performance.

Server virtualization provides the opportunity to reduce cost and energy requirements, increase agility, speed deployment, and leverage data center space because servers no longer need to be procured, installed, cabled up, and connected to the rest of the infrastructure. This enables rapid deployment of a production, development, or testing environment or creation of ‘sandboxes’ to assess specific functions such as load testing. Virtualization also takes into account the larger impacts due to failures of underlying hardware, tracking software licensing compliance, and the unnecessary consumption of server resources for those more lightly used VMs.

### **SECURITY AND DISASTER RECOVERY**

Reliability and security of the Arizona Judicial Information Network (AJIN) is of primary importance. As a result, several ongoing statewide initiatives, continue to occur, to address the maintenance and security of AJIN. As part of these ongoing efforts, network equipment refreshes take place, insuring the latest technologies and tools are deployed at each location on the AJIN network.

Firewalls and security monitoring equipment are the key technologies to protect the network. Every extended connection to AJIN is protected by a firewall and monitoring probes. These devices prevent attacks from the Internet and outside agencies, and also protect our internal IP addresses from the outside sites visited by AJIN users.

To insure these security measures are affective, external third-party network security audits are performed. The results of these audits are analyzed and enhancements are made when necessary, ensuring the continued integrity of the AJIN network.

Guidelines to govern security system management have been formulated. Policies, standards and/or guidelines are developed for all to follow. The key to a successful implementation is communication among the various technical groups throughout the state.

The AOC standard for remote access is Virtual Private Networking (VPN). This technology enables telecommuters secure access e-mail and applications via the Internet. Many AOC staff and court personnel also now use a highly secure extranet client to access AJIN.

AJIN is a very reliable network today. The necessary firewalls, redundancy, and systems management documentation have resulted in high network availability for the users throughout the State.

# STANDARDIZED FORMS



## PROJECT GOALS AND ACCOMPLISHMENTS

Goal 1-C of “*Justice 20/20*” addresses self-represented litigants. For many people, the cost of legal representation has become prohibitive, as evidenced by the ever-increasing number of self-represented litigants appearing before the courts. Arizona courts are taking steps to provide meaningful assistance to the self-represented so that they are not denied justice because they lack the benefit of legal counsel. Among those steps are:

- Develop and adopt Supreme Court Guidelines defining legal assistance, as distinguished from legal advice, so that judicial staff can provide appropriate legal assistance.
- Expand the Judicial Branch’s self-service capabilities on the Web to include forms, instructions, and other information helpful to those who appear unrepresented in the limited and general jurisdictions, and appellate courts.
- Develop simple, easy to use, web-based, interactive forms needed for dissolution and other domestic-relations-related cases, small claims, eviction actions, general civil, and probate cases.
- Expand the breadth of the self-service approach for court users through online resources.
- Develop a Web Portal that provides a convenient and unified access point for filing court cases as well as viewing case-related information statewide.
- Provide marketing support to educate the public about the functionality and convenience of the new electronic access capabilities.

### PROJECT GOALS

#### *INTELLIGENT FORMS*

- Create a single governance structure over the development and content of forms for court users statewide.
- Standardize forms data to reduce duplicate efforts in providing court forms to the public and prepare for statewide e-filing.
- Automate the entire workflow associated with case initiation and subsequent filings for select case and form types in the Superior Court, Justice Courts, Municipal Courts, and Appellate Courts.
- Deliver self-service forms to the public via AZTurboCourt, based on court rule or statute.
- Sustain the support, training, and marketing efforts for the statewide AZTurboCourt electronic filing initiative. Involve representatives from all court levels in the development of the forms logic and format.

#### ***AZTURBOCOURT PORTAL***

- Provide the main access point through which all Internet-accessible services are provided (e.g., e-Filing, FARE, document access, child support calculator, etc).
- Evolve portal over time as new online services are developed.

#### ***MARKETING AND TRAINING***

- Spread the word statewide and nationally about AZTurboCourt and electronic filing.
- Creatively direct communications to individual courts (notices, training), attorneys and legal aids, as well as self-represented litigants.

### **PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

#### ***INTELLIGENT FORMS***

- Small claims, justice court civil, and residential eviction forms continue to be used in Maricopa, Pima, Pinal, Cochise, and Coconino counties. Gila and Mohave counties were added in FY12. Work continues to spread usage through the rest of the state with the next three counties (La Paz, Yuma, and Santa Cruz) scheduled to begin using the forms early in FY13.
- The full e-filing version of the small claims application is piloting in four of the Maricopa County Justice Courts. Additional MCJC court locations are awaiting entry into the pilot.
- The first phase of the dissolution intelligent forms application, which includes the petition and response along with the model parenting guide, was tested and prepared for production deployment in a pay-and-print mode. The second phase is scheduled to include the proposed decree.
- Mandated GJ-civil case subsequent e-filing continued in the Superior Court in Maricopa County and mandatory e-filing was put in place for attorneys filing into the Arizona Supreme Court and Court of Appeals, Division One, in April 2012 for all case types.

- Implemented pilot of GJ-Civil, statewide model, full e-filing in the Superior Court in Pima County.
- Deployed LJ-Small Claims, LJ-Civil, and LJ-Eviction Action pay and print forms in Gila, La Paz, Mohave, Santa Cruz, and Yavapai counties

**AZTurboCourt Portal**

- Maintained a single, Web-based portal at [www.azcourts.gov](http://www.azcourts.gov), through which the public accesses various Court-provided online services, including AZTurboCourt e-filing, child support calculator, and public access to court documents.

**MARKETING AND TRAINING**

- Marketing materials continue to be distributed to Justice Courts as they come live with intelligent forms applications.
- Work has been done with each county that has brought their forms live to improve visibility of AZTurboCourt on their local court websites.

SNAPSHOT					
CLASS		STATUS		RISK	
Utility		New	X	High	
Enhancement		On-going		Medium	X
Frontier	X	Replace/Upgrade		Low	

**PROJECT DESCRIPTION**

**INTELLIGENT FORMS**

In support of the initiatives within *Justice for a Better Arizona: A Strategic Agenda for Arizona’s Courts 2002-2005* to make courts more accessible to the public, the Court Services Division of the Administrative Office of the Courts began developing a Web-enabled virtual self-service center for court forms. Building on a major initiative for 2008-2010 to expand these standard offerings and make the forms more interactive and user-friendly, the self-service effort was consolidated into the statewide e-filing initiative and improved from fillable forms to intelligent forms filed using the AZTurboCourt product.

The current virtual service center on the Judicial Branch’s Internet Webpage provides a set of common court forms online and leads users through the process of filling out forms and printing them. The Adobe Acrobat product was selected as the development tool for the Child Support Calculator and was relied upon together with HTML for development of the virtual self-service center.

Internet technology has enabled “one-stop shopping” for pro se litigants. Court websites are able to point to an AOC website for a user form. That form is filled out,

then printed and delivered, or soon e-filed, to the appropriate court. The current proliferation of forms covering the same basic subject areas in individual courts greatly complicates achievement of the goal of standard forms. As electronic filing is implemented in courts, the ability to submit these forms electronically to the court will be an enhancement. Form data will be converted to a stream similar to citation data for use by the case management system, eliminating the need for manual intervention. Attorneys are the likely candidates to make use of data fillable forms while pro se litigants will benefit from the intelligent forms option from AZTurboCourt.

A separate section of this document is devoted to the approach for providing public access to court data and documents.

### ***AZTURBOCOURT***

The AZTurboCourt initiative represents an overarching vision to provide Court automation solutions to the public and government agencies via a common Web portal. This portal will highlight the different services that are available, describe them in various levels of detail, and direct the public to the online products and services. AZTurboCourt e-Filing, for example, is a multi-year endeavor focused on providing private citizens and government agencies a means to pay for and file court documents in any court of the State and at any time of the day or night. Since the AZTurboCourt e-Filing system guides filers through the entire case filing process, including capturing data and processing input via each court's case management system, access to justice will be sped up, the accuracy and completeness of the information entering the court will improve significantly, minimizing the amount of re-work typically associated with manual case file processing, court forms will be standardized, and the amount of manual paper handling will be reduced greatly.

The first AZTurboCourt e-Filing application launched was the Pay & Print intelligent forms service. This service enabled filers to complete their forms and submit them over-the-counter. Immediately following the release of the AZTurboCourt Pay & Print services, integration with the various court case management systems got underway. Full E-Filing, as it is being called, will allow filers to complete, pay for, and electronically submit their filings to the court. Full E-Filing will negate the need for filers to physically travel or have couriers deliver documents to the various courts.

### ***MARKETING AND TRAINING***

Since the AZTurboCourt e-Filing initiative was announced in June of 2008, presentations have been given to various interested parties, e.g., private citizens, law firms, the State Bar, and individual Court committees. Getting the word out about the initiative is critical because citizens must be prepared for the impending delivery of a service that will fundamentally change the way in which they conduct business with the Court. Additionally, as future users of the system, their feedback can help improve the products and services ultimately delivered by the Court. This will, in turn, speed the adoption of the AZTurboCourt E-Filing system.

Marketing materials such as brochures and posters have been created and are ready for distribution in courts that will be going live with AZTurboCourt services. Once full e-filing occurs, court staff must understand how they will track various documents and

processes differently from their manual methods. This will require education and training as the program matures and extends its reach throughout Arizona.

As the AZTurboCourt system evolves, business and technical subject matter experts are helping to define what activities each court will be required to perform.

# JOLTSaz NEXT GENERATION JUVENILE ONLINE TRACKING



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Conduct performance testing and implement JOLTSaz for Pima County, including data conversion and integration with AGAVE.
- Roll out JOLTSaz to the rural counties, including integration with AJACS tentatively scheduled to begin in 2013.
- Implement a web-based application for CASA volunteers in Pima and the rural counties.
- Develop and roll out Phase III of AZYAS, the Arizona Youth Assessment System, statewide.
- Implement both AZYAS Phase I and Phase II in Pima County in conjunction with the JOLTSaz rollout.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

The JOLTSaz team continued to focus on development of the new juvenile tracking system and preparation for the statewide rollout. Other projects completed are as follows:

- SWID, the Juvenile Statewide Identifier, was implemented in Pima County in March 2011, in the Rural Counties in April 2011 and in Maricopa County in November 2011. It provides a standard method to uniquely identify juveniles statewide. A SWID for each juvenile in the state makes tracking kids across

counties more effective and efficient, promotes juvenile accountability and increases public safety.

- AZYAS, the Arizona Youth Assessment System, Phase I, was implemented in the rural counties in January 2012 and Maricopa County in May 2012. Phase II was implemented for Maricopa County and the rural counties in June 2012.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	X	New		High
Enhancement		On-going		Medium
Frontier		Replace/Upgrade	X	Low

### PROJECT DESCRIPTION

JOLTS is considered one of the most comprehensive juvenile court automation systems in the country. That said, there are limitations with this legacy system that need to be addressed. The JOLTS system is written in COBOL and includes multiple DB2 databases (one per county) that reside on an AS/400 platform. The original application was implemented over 25 years ago and has been modified numerous times to accommodate changes in the juvenile courts and changes in statute. The cost to maintain JOLTS, with its current technology and support limitations, continues to increase each year.

JOLTSaz will be a full juvenile tracking system, including both delinquency and dependency, for Pima and the 13 rural counties. It is being written with newer technology using VB.NET, a single, centralized SQL Server database statewide and hosting a 3-tier open architecture design that best suits the organization’s future needs. JOLTSaz includes many new features and improvements compared to current JOLTS screens and functionality. In addition, Probation/CMS integration is designed to provide real time access to court case, calendaring and financial information from the Clerks of Court case management systems: AJACS for the rural counties and AGAVE for Pima County. The goal is to eliminate duplicate data entry, improve timeliness of data entry, reduce paper flow and make information available to everyone who needs it, when they need it.

Phase II will be developed in parallel with the statewide rollout and include CASA and FCRB functionality in JOLTSaz.

# JUDGE'S AUTOMATION



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Streamline and standardize a set of judicial workflows and related business processes to enable judges to be more efficient and productive on the bench and in chambers.
- Interface an automated solution with the statewide CMS application, AJACS, and enable interfaces with other case management systems in the state.
- Eliminate the need for paper files and manual processing by providing judges the ability to manage their cases electronically from start to finish.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Continued formal business requirements analysis for Judge/Clerk Review functionality (with AJACS application), in support of statewide e-filing project, that may be developed in conjunction with the judges' automation tool.
- Continued collaborating and partnering with large volume, non-AOC-supported courts and the vendor to build upon the existing AJACS application and develop a judicial workflow process/solution that meets the needs of all LJ courts.

SNAPSHOT			
CLASS		STATUS	RISK
Utility		New	High
Enhancement	X	On-going	Medium
Frontier		Replace/Upgrade	Low

## PROJECT DESCRIPTION

While digitization has made great inroads in courts' back offices over the past several years, bringing electronic documents and workflow to the judge represents the "last mile" of the effort. Clerks continue to scan documents filed at the counter and increasingly receive electronic filings, only to routinely print them for the judge's use in chambers and on the bench.

The purpose of this project is to streamline and standardize a set of judicial workflows and business processes that will enable each judge to become more efficient and productive in an all-digital environment at the bench, within the courtroom, or in chambers.

In mid-2009, judges from various courts and jurisdictions were initially engaged through meetings and a trip to Colorado where they observed a judges' automation software product developed by the Colorado State Judiciary. Numerous likes and dislikes of this system along with current application likes and dislikes were elucidated over the course of the meetings and trip. These items were shared with project's assigned systems analyst in early 2010 and are being incorporated into the automation effort.

Automation geared specifically towards the needs of judges will interface with the current statewide CMS application, AJACS, along with all case management systems in the state to automate their interaction with court cases and parties. The added value goal of development efforts and the resulting automation tool is to eliminate the need for paper files and manual processing and thereby provide judges the ability to manage all their cases electronically.

While the AOC has begun efforts towards designing and building a streamlined and standardized set of judicial workflows and business processes, additional effort is still required to finalize this automation effort.

Collaborative efforts are underway with remaining LJ AJACS development both for the AZTEC Replacement project and the Large Volume LJ development project that will bring this automation effort closer to reaching its goals.

Additionally, through development efforts by the vendor to support its own recently acquired e-filing product, initial Clerk/Judge Review and Document Management capabilities will be built within the AJACS application that will be of benefit to all courts implementing this software. These modifications to the system should be provided to the AOC and all other nationwide customers at no additional charge as long as application maintenance and support contracts remain in place.

### E-Filing Viewer

Case Title	Case Number	Case Type	Court Location		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Form Set #	Filing Date	Filing Party	Filing Party Role	Filing Type	Amount Paid
<input type="text"/>	<input type="text"/>				

- [..\E-Filing\Motion To Dismiss.docx](#)
- [..\E-Filing\Exhibit 1.docx](#)
- [..\E-Filing\Exhibit 2.docx](#)

#### Current Status

Queue Type	Assignment	Follow-Up Date	Priority	Action	
<input type="text"/>					
Last Action				Follow-Up Date	<input type="text"/>
<input type="text"/>				Queue To	<input type="text"/>
Status	<input type="text"/>			Assignment	<input type="text"/>
				Priority	<input type="text"/>
				Comment Action	<input type="text"/>
Comments	<input type="text"/>			Comment	<input type="text"/>

SUBMIT

CANCEL

# JUSTICE INTEGRATION

## ~ADRS~

### AZ DISPOSITION REPORTING SYSTEM



#### PROJECT GOALS AND ACCOMPLISHMENTS

##### PROJECT GOALS

Arizona Disposition Reporting System (ADRS) provides interface capability between law enforcement, prosecution and the courts and includes the following additional features that build upon the initial version of ADRS:

1. Query/Response GJXDM XML integration between the courts' and ADRS.
2. Workflow notification processing to support agency accountability in reporting, and timely processing of disposition information.
3. Local justice and law enforcement system integration which supports reduced data entry and consistency of information stored between systems.
4. Agency profile information that allows for notification delivery choices between email, fax and GJXDM XML system-to-system transactions.
5. ADRS interface functionality within courts' AJACS case management system.

##### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Piloted ADRS implementation in Pinal County in May 2012. Implementation and training includes both the AJACS ADRS Interface and the DPS ADRS Web application.
- Began statewide implementation by county following successful pilot. As of June 30, 2012, six counties have been implemented (Pinal, Yuma, Mohave, La Paz, Apache, and Navajo). The remaining counties will be implemented prior to September 30, 2012.

- Produced a couple of ADRS training videos to supplement traditional training.
- Began each county implementation with a County Justice Partner Kickoff Meeting including representatives from GJ courts, LJ courts, Sheriff's Office, County Attorney's Office, City Attorney's Office, and local law enforcement.
- Defined and worked with the CMS vendor on several ADRS enhancements scheduled to be delivered in the 3.9 or 3.10 releases of AJACS.
- Worked with ACJC to define some future enhancements for the ADRS application, including notifications and work queues.
- Began investigating the overlap of ADRS, eCitations, and Criminal e-filing to determine the needed functionality in AJACS to consume new filings straight from ADRS through XML integration.
- Worked closely with DPS for ADRS Web training and documentation. Also worked closely with DPS regarding system certification and registration process.
- Continued to work with DPS on improved disposition reporting training and documentation.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New	X	High
Enhancement		On-going		Medium
Frontier	X	Replace/Upgrade		Low

## PROJECT DESCRIPTION

The Arizona Disposition Reporting System (ADRS) is part of the strategic Integrated Justice plan for the State of Arizona. The goal of the system is to improve the reporting of disposition and sentencing information from the law enforcement and justice agencies throughout the State.

The current version of ADRS provides a web interface to Maricopa County justice agencies for entering disposition and sentence data, thereby eliminating their submittal of the yellow disposition forms to DPS for data entry. The initial agencies are the Maricopa County Attorney's Office and the Maricopa County Clerk of the Superior Court.

ADRS functionality has been constructed using an XML interface within the Court CMS, AJACS. This will eliminate the need for court submittals of the yellow disposition forms to DPS.

The system interfaces with AZAFIS and the Arizona Computerized Criminal History System (ACCH). AZAFIS populates all of the fingerprint-based arrests in the State into ADRS. ADRS has a two-way interface with ACCH. Dispositions added, updated, or deleted through ADRS will be updated in ACCH on a real-time basis. If updates occur directly in ACCH related to Arrest / Charge information, transactions will update ADRS to keep them synchronized.

ADRS is an essential component for improving the accuracy and completeness of Arizona's criminal history information. The following benefits will be achieved through this integration effort:

- Increased accuracy and completeness of disposition reporting.
- Improved decision making by the justice and law enforcement practitioners through improved criminal history information.
- Increased accuracy and consistency of information being delivered throughout the criminal justice process, thereby improving the efficiency and effectiveness of all agencies.
- Increased accountability within the agencies for complete, accurate and timely reporting of disposition information.

To support the realization of these objectives, technical and business leaders for the Arizona Administrative Office of the Courts, Arizona DPS, ACJC, and other justice and law enforcement agencies identified priority features to be incorporated into the ADRS system.

# JUSTICE WEB INTERFACE (JWI)



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Provide a standard, reusable, enterprise web services portal query interface solution for Court end-users accessing ACJIS data.
- Obtain electronic information in near real-time from diverse systems using a standard web portal interface.
- Expand and incorporate the solution architecture across multiple justice areas to enhance business productivity.
- Roll out to court staff in all counties.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Upgraded the JWI hardware platform to bring it current, and improve response time and overall system performance.
- Provided day-to-day customer support to all JWI users statewide.
- Implemented the latest updates and patches to JWI, bringing it current with the latest release which contained some new enhancements.

SNAPSHOT		
CLASS	STATUS	RISK
Utility	X	New
		High

Enhancement	On-going	X	Medium
Frontier	Replace/Upgrade		Low

## PROJECT DESCRIPTION

The Justice Web Interface (JWI) program is an innovative enterprise application that efficiently connects various criminal justice entities to the Arizona Department of Public Safety (DPS) network through a secure web page. This allows for data sharing among local justice agencies and from Federal information sources through NLETS, the International Justice and Public Safety Information Sharing Network. JWI precludes the need to spend hours of research time switching among multiple screens to generate the compilation of potentially hundreds of individual computer query responses into a combined criminal history report for use by judges, attorneys, and investigators.

Designed, developed, and implemented by the Integrated Criminal Justice Information System (ICJIS) Agency of Maricopa County, JWI has greatly improved productivity while enhancing public safety. Additional criminal justice database searches are being added to JWI as they become available, expanding its original objective of replacing "green screen" mainframe access methods for gathering information on criminal subjects, to the development of a much improved method for retrieving, grouping, and compiling a criminal history. JWI provides the ability to query data from multiple source systems via browser access and then provides data to the user on a single, composite screen.

Unlike previous data aggregation environments, JWI is not a centralized system or massive data repository. Instead, each source system is maintained locally and allows JWI users to interface and exchange data with their partner agencies. Sometimes the data is exchanged in real time, or nearly real time.

This particular solution architecture is transferable to other subject areas, providing significant productivity gain to end users as it dramatically reduces labor intensive activities for users requiring multiple systems/applications to obtain data. It facilitates the ability to introduce new data feeds. In addition, it enables an end-user the ability to copy and paste data and eliminates the need to re-enter data manually and thus associated data entry errors.

This solution approach will be replicated for additional enterprise interfaces i.e., APETS and AJACS.

# LIMITED JURISDICTION CASE MANAGEMENT SYSTEM



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Prepare for implementation of a new case management system (CMS) for limited jurisdiction (LJ) courts.
- Perform a gap analysis of system functions to determine additional enhancements required for statewide distribution.
- Include a case financial system that will handle the complex financial allocation algorithms that currently exist.
- Include a civil case-processing module that will handle all filings and forms utilized by a justice and/or municipal court.
- Provide program interfaces that permit integration with other systems.
- Create an object-oriented structure so that the system and its components are usable for juvenile and adult probation financial activity.
- Oversee application development based on limited jurisdiction court requirements identified during gap analysis.
- Analyze and assess AZTEC data cleanup and data conversion efforts.
- Include a standard library of court forms and reports.
- Prepare and execute a detailed project plan for user training and implementation activities.
- Include electronic document management functionality for all limited jurisdiction courts.

**PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

- Continued to monitor and oversee vendor contract deliverables and application development of LJ CMS (AJACS) based on limited jurisdiction court requirements identified during gap analysis.
- Continued collaborating and partnering with large volume, non-AOC-supported courts and the vendor through the provision of resources, funding, and business analysis to build upon the existing AJACS application and develop a solution that meets the needs of all LJ courts.
- Continued identifying and documenting comprehensive and detailed business requirements to submit to the vendor the technical design and development in AJACS.
- Identified and documented the final LJ AJACS conversion strategy, taking into account lessons learned from superior court implementations. Presented final conversion strategy to more than 70 statewide LJ court users, executive management, AOC divisional departments, ITD departmental units, and the vendor for feedback and comment. Most, if not all, comments were favorable to the strategy.
- Defined a high-level training and implementation plan for the statewide rollout.
- Forms standardization focus group, formulated to design and build a set of standardized forms within AJACS for LJ court use, was put on hold due to lack of LJ CMS team resources. Efforts will resume once team resources become available again.
- Completed creation of a set of baseline test scripts for LJ AJACS and also began initial user testing of application functionality. Began creation of detailed functional test scripts based on documented business requirements and set up testing folder structure within Quality Center product.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	X	New		High
Enhancement		On-going	X	Medium
Frontier		Replace/Upgrade		Low

**PROJECT DESCRIPTION**

The existing case management system for limited jurisdiction courts is AZTEC, which is implemented in 134 justice and municipal courts. It is a generalized and parameterized system that provides functionality for both limited and general jurisdiction courts. In a strategic planning session for 2004-2006, the court determined the AZTEC system to be reaching the end of its lifecycle because of aging technology. The product has become increasingly more difficult to support since then, especially finding staff knowledgeable in the AZTEC development tools.

The differences in processing workflows and volumes initially prompted the move to acquire separate systems for general jurisdiction courts and limited jurisdiction courts. This approach was especially desirable for the larger metropolitan courts. Rural counties, however, indicated a preference for continuing to use only one system for all levels of court.

Two possible solutions existed for the limited jurisdiction courts statewide: the Tempe CMS application developed by the Tempe Municipal Court or AmCad's AiCMS, a vendor-developed, integrated case management system that was previously selected as the second-generation general jurisdiction courts (GJ) case management system (CMS), replacing AZTEC.

Commission on Technology's final recommended and AJC-approved solution for the LJ CMS is a "hybrid" approach that utilizes AmCad's AiCMS software as the baseline CMS product and enhances it by incorporating functionality favored in the Tempe CMS product along with AZTEC system improvements developed by Scottsdale Municipal Court called AZTEC Wizard.

This statewide LJ CMS solution takes advantage of a great opportunity to consolidate approximately 10 separate case management applications that are currently utilized within the Arizona LJ court community down to four (4) at full implementation. Additional courts could be consolidated into this solution as their current applications age and become un-supportable. Significant, large volume, non-AOC-supported courts are prepared to collaborate with the AOC and the vendor through the provision of resources, funding, and business analysis to build upon the existing AiCMS/AJACS application and develop a solution that meets the needs of all LJ courts, large or small, rural or metropolitan.

# PENALTY ENFORCEMENT PROGRAM & FARE



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Establish a centralized collections function to enforce court financial orders.
- Modify automation systems to share new/modified case information and payment information with a collections vendor.
- Modify automation systems to accept and process electronic payment transactions.
- Implement the enforcement provisions provided for under the Department of Motor Vehicles' Traffic Ticket Enforcement Assistance Program (TTEAP) (A.R.S. 28-1631).
- Broaden the court's implementation of the Arizona Department of Revenue's (DOR) Tax Intercept program.
- Modify automation systems to provide near-real-time transaction processing to the Motor Vehicle Division (MVD) to allow for TTEAP.
- Continue increasing revenues by adding additional backlog cases to the FARE Program on a regular basis.
- Expand FARE functionality for the Maricopa County Justice Courts to include pre-disposition and post-disposition case processing.
- Work with the FARE vendor, ACS, and the courts to identify areas in which the program is exceeding expectations and areas in need of improvement.
- Develop and deliver detailed functional requirements for the migration of FARE to a SQL environment and progress to an RFP process for accomplishing the work.

- Increase backlog collections by re-skip tracing dormant FARE case addresses, resending collections letters and modifying address update criteria.
- Implement Full FARE backlog functionality in 11 GJ AJACS courts.
- Develop pre and post disposition functionality for LJ AJACS courts.

**PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012**

- Participating courts total 171 in all 15 counties with 2.9 million cases submitted valuing over \$1.7 billion.
- The Backlog program has realized over \$265 million in collections to date in outstanding local debt disbursed to statutory funds at the local, county, and state levels.
- As of May 2012, the Debt-Set-Off program intercepted \$17.8 million, the highest amount in program history (*reported by calendar year*).
- In the month of February 2012, the Backlog program collected \$6.9 million and was the highest collection month in program history.
- Approximately \$72 million was collected via electronic media, Web, and IVR.
- TTEAP continues to be successful as the number of holds exceeds 669,885 with over 354,588 releases for a release rate of 52.93%.
- The FARE Program Compliance Enhancement pilot recalled approximately 265,000 cases totaling \$165 million dollars from the outbound calling collection stage sending the cases back to the FARE vendor for skip-tracing. This 6 month pilot collected \$3.5 million as of March 2012 on previously uncollected older, backlog, FARE cases prior to returning to outbound calling.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New		High
Enhancement		On-going	×	Medium
Frontier		Replace/Upgrade		Low

**PROJECT DESCRIPTION**

The Penalty Enforcement Program (PEP) is an effort by the Arizona judiciary to enforce court-ordered penalties. PEP morphed into the Fines, Fees and Restitution Enforcement (FARE) Project which was the automation project directed at centralizing and automating that enforcement. It provides civil and criminal case data to a vendor for account collection activities. It began with implementation in several “pioneer” limited jurisdictions courts. The data shared with the vendor includes pre-disposition and post-disposition, and special collections.

This program has provided more consistent court order enforcement on a statewide basis and also increased revenue due to improved fines and penalties collections and additional collection methods used. It has provided the public with alternative ways to satisfy court-ordered sanctions.

Administrative Order (AO) 2003-79 established the Penalty Enforcement Program and enabled the FARE Project to proceed. It summarizes the mission, goals, and scope of this project. AO 2009-29 codified the FARE collections program in the Arizona Code of Judicial Administration as ACJA 5-205.

Phase I of PEP is implemented and revenues collected to date have exceeded expectations. Initial projections were that Phase I would result in increased revenues of \$2 million per year; as of this date, a total of \$25.5 million, has been achieved. Phase II calls for expansion of TIP to include a federal tax refund intercept program and work continues to encourage Congress to make the necessary changes to federal law.

Phase III of PEP is the Traffic Ticket Enforcement Assistance Program (TTEAP). Established by A.R.S. §28-1631, this collaborative project with the Department of Transportation, Motor Vehicle Division, has assisted in collecting delinquent fines and penalties by requiring these financial sanctions to be paid before vehicle registrations can be renewed.

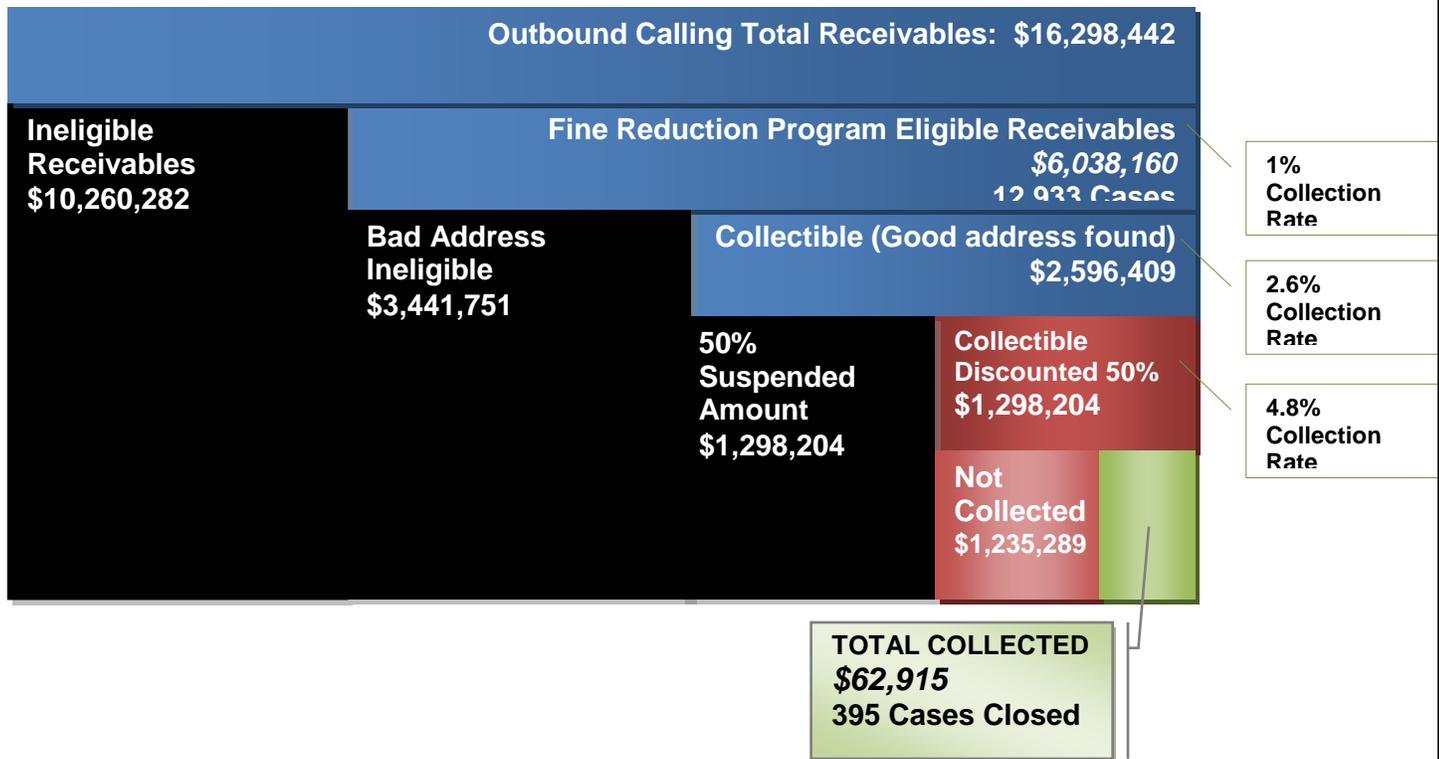
In accordance with Phase IV of PEP, the AOC hired a consultant to examine the current collection practices of the Arizona courts and various options for enhancing these collections. In December 2002, the consultant reported to the Arizona Judicial Council that outsourcing part, but not all, of the collections process was indeed feasible and would result in increased collections. Further, the consultant emphasized that public trust and confidence in the judicial system, as well as in the executive and legislative branches of government is improved when compliance with court orders is more uniformly enforced. The Arizona Judicial Council concurred with the findings of the consultant and, in February 2003, a request for proposals was issued by the AOC inviting private vendors to submit proposals to privatize collection activities. A private vendor, ACS Local and State Solutions (ACS), with headquarters in Washington, D.C., was selected following a competitive process. ACS is a substantial, publicly traded entity experienced in various similar partnerships with state and local governmental units whose purpose is to secure compliance with court orders.

During this same time period, several experiments using some of the techniques envisioned were conducted in test courts with considerable success. Based on the work of the consultant, the success of other e-Government projects such as Arizona@YourService, and the test projects, it became evident that a private/public partnership between ACS and the Arizona courts to outsource certain collection-related activities would be cost effective, should result in enhanced customer service, and would improve compliance with court orders.

A contract extension of collection services was signed with ACS to provide collection and payment-related services for the courts of Arizona. A “Fines/Fees and Restitution Enforcement” Program, “FARE”, is created through this partnership between the judicial branch and ACS. FARE incorporates Phases III and IV of PEP and provides local courts with a suite of services including, but not limited to, the following:

- Courtesy notices
- Delinquency notices
- Credit bureau reporting
- Web and telephone-based credit card payments
- Referral to the Traffic Ticket Enforcement Assistance Program (TTEAP)
- Electronic skip tracing
- Case record data enhancement
- Outbound calling
- Advanced collection and offender location services

More recently, the Fine Reduction Program was piloted in two limited jurisdiction courts, offering a temporary 50 percent reduction of the total case balance on eligible cases. The program operated from September 2, 2010, to December 31, 2010. Eligible cases were skip-traced and a one-time notice offering the 50 percent fine reduction but requiring payment in full was sent to each defendant. The pilot courts suspended the remaining 50 percent due on fully paid cases and were able to close 395 total cases. The graphic below breaks down the pilot program cases and amounts.



The Arizona Judicial Council approved a methodology for distributing to participating courts any funds remaining after all expenses of the vendor, other governmental entities, and the AOC have been met. Fiscal year 2012 funds will be distributed in early FY 2013.

# PROCESS & CODE STANDARDIZATION



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Establish and prioritize workflows and procedures to be standardized.
- Establish and document 'best practices' for limited and general jurisdiction courts for selected workflow processes.
- Create and maintain new standard codes based on new legislation, rules, and court requests.
- Develop training programs and deliver training to court staff to support implementation of "best practices."
- Complete the dictionary of standard codes, descriptions, and definitions for the variety of superior-court-related events and functions.
- Establish a dictionary of standard codes, descriptions, and definitions for the variety of limited jurisdiction court-related events and functions.
- Maintain a centralized repository of standard codes, descriptions, and definitions for use by Arizona courts and case management system developers.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- AJACS workgroups (case/party status and code definitions) continued to address and resolve issues as they arose out of new codes or existing codes. These groups were smaller and thus able to be more focused.
- Work continued on financial and calendar activities, and the development of civil and criminal statistical reports for Superior Courts.
- The General Jurisdiction Standardization Workgroup continued to meet to discuss new code requests, business process requirements, and other issues that need to be standard in each of the General Jurisdiction Courts.

- The Limited Jurisdiction Standardization Workgroup continued working through coding issues in preparation for AJACS implementation in LJ courts, paying particular attention to lessons learned for the GJ effort.
- The Data Standards Committee, approved by COT, meets on an as needed basis to discuss code standardization matters and disputes. No new issues were brought to this committee.
- The LJ CMS team is taking all necessary steps and time to validate all table codes being set up in AJACS for LJ court implementation. This is an extremely important phase of development as this application and all automated workflows, interfaces, reports and financials are dependent on valid and complete table code setup.
- LJ and GJ CMS teams, along with other IT projects, CSD and court personnel have begun working towards the complete standardization of all ARS codes within AJACS. This will allow for one master statute table that can then be utilized by any project or non-AJACS court (i.e., Probation Automation, Pima County Superior Court, etc.).
- The GJ CMS Team along with the Data Standards Lead began to meet to address table code clean-up. This is a necessary step after the conversion process to ensure all of the tables are set up correctly for each court.
- LJ CMS team created a forms standardization focus group to identify business requirements and create a set of system generated standardized forms for the LJ AJACS implementation.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	×	New		High
Enhancement		On-going	×	Medium
Frontier		Replace/Upgrade		Low

### PROJECT DESCRIPTION

Considerable differences exist from court to court in the way administrative functions are performed. Few workflows, “best practices,” and procedures have been, to date, developed and standardized. The result of these many differences is that automated case management systems require great complexity, with many parameters and options, in order to accommodate the sizeable number of unique local practices.

To minimize complexity, standardize documentation and training, and thus create a more efficient and effective Judiciary, the Commission on Technology recommended that the Judicial Branch undertake a series of projects to identify standard procedures

and workflows for similarly sized and staffed general and limited jurisdiction court environments.

In 2005, the Commission on Technology created an ad hoc committee to prioritize and select processes, research “best practices,” and make recommendations on code standardization. This project contributed to the functional specifications for new case management systems for general and limited jurisdiction courts. The development of those specifications for use by the originating court is helping identify key processes that would benefit from being simplified and standardized statewide through the rollout of the new case management systems.

Code standardization and data conversion are not enough. Those business processes and associated workflows that underlie the new case management systems must be adopted by courts as the statewide rollout occurs. Without common processes and uniform processing of case-related data, the efficiencies promised by a statewide case management system will be forfeited. Support of the new systems will be much more complex and costly, as well.

Court business processes must be standardized to match the business process underlying the automation system. This effort involves extensive local process documentation, mapping to the applicable case management system, somewhat customized training materials, and extra training time for local users. All these translate into initial productivity losses, which are being factored into the business case for the CMS transition activities, the rollout timeline, and resource leveling.

Table code standardization supports statewide consistency of information recorded in case management systems. It is difficult to transfer data to other local and state entities, write standardized reports, and aggregate statewide statistics when every court uses different words, abbreviations, or codes for the same event or activity. This is currently an issue in AZTEC courts and mapping has proven to be a labor intensive task with unsatisfactory results.

Integration, statistical analysis reporting, and shared information projects have highlighted the need for courts to record, count, and report events in a consistent manner. Even within the AZTEC courts, which are using the same application software, differences in various code table values have made reporting difficult and made integration projects more complex due to data transformation and mapping requirements.

Superior, Justice of the Peace, and Municipal Courts are addressing the need for consistency through the establishment of standardized code sets to be used statewide. The sets include, but are not limited to, standard codes for:

- Case Type,
- Party Type,
- Case Status,
- Party Status,
- Calendar Events, and
- Courtroom Events.

These projects are planned to dovetail with state-level integration projects with other agencies to identify XML tags and valid values/codes for a variety of criminal-justice-related events.

In an effort to create more usability of the calendaring and scheduling functionality in the AJACS system, the General Jurisdiction Steering Committee designated 4 courts (later to become 5) that would represent all Superior Courts in development of improvements. The Focus Group of 5 courts created an initial Business Requirements that became a technical requirements document for AmCad and planned for the 3.6 release of AJACS. This has been delivered and will complete deployment to all 13 courts, OPDJ and the AVT master by the end of August 2011. Ongoing meetings of the Calendaring/Scheduling Focus Group will keep the functionality in step with the evolving needs of the courts.

# PUBLIC ACCESS TO CASE DATA & DOCUMENTS



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Develop and implement a Public Access Strategic Roadmap that accommodates new architecture, platform, and analysis. Identify business and external users' needs as well as methods for dissemination of information including AZTurboCourt and bulk data downloads.
- Enhance and support the interface needed to populate public access information for use by the public and interested government agencies.
- Work with IT Architecture and Operations to migrate the Victim Notification application to a supported platform.
- Enhance the Victim Notification application to include all courts available in Public Access.
- Enable the general public to obtain copies of publically releasable court documents, in accordance with revised Supreme Court Rule 123. Extend partial access to documents to Arizona citizens with ADOT-MVD issued drivers' licenses or non-operator identification cards. Extend commercial access only to registered entities having appropriate credentials.
- Develop a central document repository as the source for party/public inquiry of court documents. Assess fees for document retrievals by non-case-specific parties using an e-commerce capability.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Moved the public access data from Informix to SQL Server, increasing speed of processing and overall performance.

- Began work on the core architectural element that will drive the future public access site, specifically the Central Case Index (CCI) and Central Document Repository (CDR). Crafted detailed requirements and initiated an RFP for a solution geared towards fee-based access to documents and data to supplement the data available for free in the public access facility.
- Continued efforts to implement the Rule 123 subcommittee’s major recommendation relating to the types of court documents that can be made public and enacting the terms that govern who may gain access to the court documents. Held numerous design meetings to determine how to best prevent inadvertent public access to court case records restricted under Rule 123.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New	×	High
Enhancement	×	On-going		Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

The public access web application provides the public a means by which to search for a specific party and any related case information at a statewide level. The application displays basic case information, basic party information, charge information, and case docket (events) information. A victim notification feature allows users to register and select cases they would like to track. Whenever the selected data element (case, charge, disposition, event, minutes, or party) changes on the case, a notification e-mail is sent to the registered user indicating a change on the case. Currently, this feature is available only for Maricopa Superior Court cases displayed in public access. The information on public access is a subset of all data warehouse data; certain information gets filtered from public access, including witness information, victim information, probate case types, adoption case types, and any other “restricted” case types.

Rule 123 authorizes courts to provide remote electronic access to case records. The types of access include requests for bulk or compiled data and remote electronic access to case records. Procedures for each method of access have been reviewed and approved. A brief description of each access method follows.

**Section 1-605: Requests for Bulk or Compiled Data.** A custodian of bulk data may make such data or a portion thereof available through a subscription service and pursuant to the provisions of Rule 123, Section 1-605, and all other applicable rules and law. The custodian of bulk data will require the requestor to enter into a dissemination agreement containing, at a minimum, the terms set forth in Court policy and pay a fee. Procedures define the “Dissemination Agreement,” e.g., the roles of the requester and

records custodian, the terms that govern how information is created/compiled, and what information can be distributed, etc.

Section 1-604 – Remote Electronic Access to Case Records. While Rule 123 authorizes courts to provide remote electronic access to case records, this code section sets forth the procedure for providing that access. It governs registration and authentication as well as fees and revenue related to remote access. It stipulates that all users shall accept a user agreement before any access is granted.

Currently, proposals are being evaluated from qualified bidders to provide remote access to court documents and bulk data using an e-commerce system to provide timely fulfillment of requests for court documents, subscriptions for bulk data, and creation of customized queries/data reports. The AOC and local courts maintain the information repositories that will feed the online access system. The AOC will provide the standard interface through which the selected vendor will request and retrieve court documents and case information on behalf of individuals and commercial entities, in accordance with Rule 123.

Work is simultaneously underway to populate the central document repository and re-engineer the central case index as necessary to increase remote access to case data and documents.

# STATEWIDE E-WARRANT SYSTEM



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Identify and understand the issues and problems faced by warrant processing today.
- Identify the desired features to be contained in a statewide eWarrant repository.
- Foster cross-agency/jurisdiction involvement, cooperation, and buy-in. Deploy a statewide electronic warrant repository for the benefit of all justice agencies involved with warrant processing.
- Develop a single, official source of AZ warrant information that has high data integrity.
- Provide standards-based consistency for warrant processing statewide.
- Increase automation and workflow to enable limited staff to become more effective in processing warrants.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Completed a grant-funded study, delivering a document containing a project charter, likely next steps, current issues, high level requirements, and general information about the state of warrants today and the potential for a statewide eWarrant repository.
- Secured grant funding for the next phase of Business Analysis and Technical design.
- Established a partnership with DPS and ACJC to facilitate cross-agency support and coordination.

- Fostered support and gathered information for the project through cross-agency/jurisdictional; focus groups, and presentations of the study to various agencies and committees such as the COT Technical Advisory Council, Disposition Workgroup, the ACJC Technical Committee, and the ACJC Policy Committee.
- Convened a statewide meeting of stakeholders to share the information from the study and solicit more feedback. Approximately 75 people attended, including warrant processing staff and management, local law enforcement, clerks, prosecution, judges, court administrators, and sheriff’s department officers.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New	×	High
Enhancement		On-going		Medium
Frontier	×	Replace/Upgrade		Low

### PROJECT DESCRIPTION

This five-year project addresses the lack of consistent warrant information between justice systems. Although ACIC functions as the current statewide warrant repository, many data integrity issues have been exposed with warrants between agency systems. These data integrity or “out of sync” issues lead to mistrust of the data in any one system necessitating time-consuming manual verification and processing of warrant information that should be automated. Processes with warrants are inconsistent across the state, sometimes manual, and contain many processing holes. Many existing laws, rules, and policies affecting warrants have been misinterpreted and many were written without computer automation in mind.

The purpose of this project is to study the current issues with warrants, identify obstacles to automating warrant-related processes, and determine the desired features in a new, statewide electronic warrant system. More detailed analysis and technical design will be completed, leading to a formal proposal for a new system. The solution will be constructed once cross-agency support, resources, and funding are approved and allocated.

# TECHNICAL TRAINING



## PROJECT GOALS AND ACCOMPLISHMENTS

### PROJECT GOALS

- Provide IT staff supporting the Judicial Branch processing with training opportunities on statewide software and technologies, especially those adopted in the Enterprise Architecture.
- Work with the Technical Advisory Council to identify needs for technical training.
- Provide .NET training to staff within projects implementing this architecture.

### PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2012

- Renewed licenses for the hosted version of AppDev technical training for programming and database staff at AOC.
- Added more current SQL Server, HTML5, and Mobile technology classes to developer training curriculum available through AppDev.
- Sent key AOC database engineers to SQL Server Analysis Services training. These individuals will train the rest of the staff.
- Implemented a quarterly developer forum meeting where development concepts are discussed with all developers across the enterprise. Topics include best practices, deep dives into various technologies, emerging technologies, as well as general information sharing.
- Worked with other courts' and AOC departments' report writers to help reduce the learning curve for using SSRS.

SNAPSHOT				
CLASS		STATUS		RISK
Utility	X	New		High
Enhancement		On-going	X	Medium
Frontier		Replace/Upgrade		Low

## PROJECT DESCRIPTION

The Technical Advisory Council, a subcommittee of the Commission on Technology, recommended that Information Technology staff be provided training on the basic software and hardware products in use by the Judicial Branch. The Judiciary can leverage limited funding for training by offering centralized vendor classes.

The training sessions may be identified and arranged through TAC as the need arises. Among the technical topics for which statewide training is possible are:

- .NET (C#, VB.NET, ASP.NET)
- SQL Server
- WCF, WPF, XAML
- Windows Server administration (the operating system of our Internet/Intranet servers)
- AIX/UNIX server administration
- HTML/XML/CSS
- JavaScript
- Informix (the database of the AZTEC and APETS software application)
- DB2
- Imaging technologies
- Electronic document management technologies, including Hyland's OnBase and its Document Transfer Module
- Data warehousing concepts and software applications
- Data integration architectures and products, including Websphere MQ and MQSI

- Various other products that are used statewide such as Altiris (desktop management system software)
- Microsoft SQL Server Reporting Services (SSRS)

No plans for formal, statewide technical training commitments were made for FY 2003 through FY 2012 due to budget constraints. However, adopting the Enterprise Architecture Standards that include .NET resulted in a need for training technical staff statewide. This technical training remains primarily a local and/or project responsibility during the next fiscal year as funding is currently unavailable for statewide efforts. Project staff implementing the .NET architecture will receive training with project funding. State-level coordination will facilitate leveraging and acquisition of volume discounts that may be available.

# **APPENDIX - A**

## APPENDIX – A. HARDWARE ENVIRONMENT

The Arizona Judicial Branch has a very diverse mix of hardware reflecting the various projects and programs that have evolved and applications that have been acquired and/or developed over the last several years. Note that the items listed here are generally supported centrally as a statewide project; where individual courts have additional hardware and/or software beyond these items, that equipment is listed on the individual court's inventory of judicial equipment and not in this document.

### DESKTOP ENVIRONMENT

The desktop environment includes a variety of PCs. AOC/ITD, under direction from the Commission on Technology, continues to support a four-year equipment leasing cycle which is designed to refresh desktop hardware regularly to ensure that it incorporates the technology needed to support the evolution of statewide applications while providing additional savings needed to support other technology projects.

The following are standard PC models being placed into service:

#### ***DESKTOP:***

EW290AV hp Compaq Business Desktop dc5700 SFF, Intel Core 2 Duo 2.13GHz, 160 GB, 2 GB RAM, NIC (from current stock on hand)

#### ***LAPTOP:***

LJ546UT HP EliteBook 8560p, Intel® Core™ i5-2520M (2.50 GHz, 3 MB L3 cache), 500 GB 7200 rpm SATA II, 4 GB 1333 MHz DDR3 SDRAM, NIC

#### ***PRINTER:***

CE991A HP LaserJet Enterprise 600 Printer M602n

### SERVER ENVIRONMENT

<u>IBM I-SERIES</u>	<u>2</u>	<u>OS/400</u>
<u>IBM P-SERIES</u>	<u>26</u>	<u>AIX</u>
<u>HP PROLIANT</u>	<u>7</u>	<u>WINDOWS NT</u>
<u>HP PROLIANT</u>	<u>9</u>	<u>WINDOWS 2000</u>
<u>HP PROLIANT</u>	<u>53</u>	<u>WINDOWS 2003</u>
<u>HP PROLIANT</u>	<u>131</u>	<u>WINDOWS 2008</u>
<u>HP PROLIANT</u>	<u>110</u>	<u>VMWARE</u>
<u>HP PROLIANT</u>	<u>1</u>	<u>LINUX</u>

# **APPENDIX - B**

## APPENDIX – B. SOFTWARE ENVIRONMENT

The list of software products below is divided into two categories.

First is a list of the products in use statewide in courts to which the Customer Support Center provides assistance. There are many other products in use in the Superior, Justice and City courts statewide, most often supported by the IT staff of the local court, city or county government. At the state level, however, these are not supported and not included in the list below. Refer to individual court plans for their list of local software.

The second list includes those products in use at the Supreme Court and the Administrative Office of the Courts.

### COURTS

Software in courts that is supported statewide in conjunction with existing programs.

SOFTWARE APPLICATION	VENDOR	No. USERS	COMMENTS
<b>AJACS (GJ CMS)</b>	AmCad, Inc. Herndon, VA	13 courts, 1177 users	New Court Case and Cash Management Software for the Arizona Court Automation Project (ACAP)
<b>APETS (Adult Probation Tracking System)</b>	Internal development	26 sites, approximately 3500 APD users	Currently installed at all county adult probation departments
<b>AZTEC</b>	Progressive Solutions, Inc. Salt Lake City, Utah	143 courts; 2037 court users	Old Court Case and Cash Management Software for the Arizona Court Automation Project (ACAP)
<b>AZTEC MVD</b>	Internal development	88 courts; 1,216 court users	Used by ACAP and large-volume, non-ACAP courts to report motor vehicle convictions and warrants to Motor Vehicle Division
<b>Case File Tracking</b>	Internal development	594 ACAP computers	Bar code scanning/case file tracking application used by some ACAP

SOFTWARE APPLICATION	VENDOR	No. USERS	COMMENTS
			courts
CASPER	Internal development	243 ACAP computers	Combined statistical reporting application
Crystal Reports	Business Objects	247 statewide users	Web-based ad-hoc report writer for case and cash management system used by ACAP, JOLTS and APETS users
Internet Explorer	Microsoft	2886	ACAP and JOLTS users
JOLTS (Juvenile Online Tracking System)	Internal development	65 juvenile probation and detention office sites 2713 JWALK	Software to track juvenile case information
JURY+	Jury Systems, Inc.	13 Superior Courts 49 systems	Jury management software
Juvenile Treatment Tracking	Internal development		Records and tracks treatment information for juveniles
Outlook	Microsoft	2850	ACAP and JOLTS users
Tax Intercept Program (TIP)	Internal development in PowerBuilder	Approximately 90 courts; 617 users	Software used to collect and transmit unpaid fines information to lottery and DOR
Windows	Microsoft	Windows 2000: 5 Windows XP: 125 Vista: 2720	Operating System
WordPerfect	Corel	55	Phasing out with computer refresh
Word, Excel, PowerPoint	Microsoft	Word – 2850 Excel – 1059 PowerPoint – 2778 Access - 117	Standard office productivity software

SOFTWARE APPLICATION	VENDOR	NO. USERS	COMMENTS
Child Support Calculator	Internal development	17,878 per month	Internet application that calculates child support payments
CASA Volunteer Webpage	Internal development	8,474 per month	Secure Internet application that uploads documents

### Arizona Supreme Court and the Administrative Office of the Courts

Software Application	Vendor/Internal Development	No. Users	Comments
Access	Microsoft	95	Used for a variety of localized databases
Adobe Acrobat Professional	Adobe	212	Used for publication of documents to Internet/Intranet as well as interactive forms development
Appellamation	Internal development	89 Supreme Court users	Appellate court software in production in the Supreme Court and Court of Appeals Division One
Budget Information Tracking System (BITS)	Internal development on RS/6000	Web Based	Used by remote Dependent Children's Services offices to create and track budgets and expenditures
Centra Symposium and Knowledge Composer	Centra	518 Statewide	This software allows centrally located trainers to provide remote virtual classroom training in all AJIN courts
Client Access	IBM	471 statewide	Used for terminal emulation access to the AS/400
Confidential Intermediary Program (CIP)	Internal development on AS/400	471	Application to track activity related to the Confidential Intermediary Program
CLD Online	Internal development	Statewide	Internet application to process online renewals and fee payments

Software Application	Vendor/Internal Development	No. Users	Comments
Defensive Driving	Internal development on AS/400	66 driving schools	Statewide-centralized database of defensive driving class participants
Dependant Children's Activity Tracking System (DCATS)	Internal on-going support on RS/6000 in PowerBuilder for this system built with a vendor on contract.	61	Application used to record and track activity related to Foster Care Review Board and Court Appointed Special Advocate programs
Excel	Microsoft	799 internal computers	Spreadsheet application
Outlook	Microsoft	799 internal computers	Messaging and group-collaboration software used in conjunction with Exchange
Education Resource Library (ERL)	Internal development	AJIN users statewide	Tracking and checkout for educational materials
Web Expressions	Microsoft	137	Used to maintain the Intranet and Supreme Court web site
Grant Tracking System	Internal development on AS/400	5	Application to record and track grants to courts
Private Fiduciary Tracking	Internal development	2	Tracks certification of private fiduciaries
Internet Explorer	Microsoft	799 internal computers	Used for Internet/Intranet access
Juvenile Contract Tracking	Internal development on AS/400		Used to track juvenile service provider contracts
Juvenile Online Tracking System Youth Index	Internal development on the AS/400	30	Used for statistical analysis and for sharing high-level JOLTS data among users
Logos	New World Systems Troy, MI	AOC: 21	Fund Accounting, Fixed Asset, Contract Tracking, and Budgeting package
McAfee Virus Scan	McAfee	V8.8 – 3422 V8.7 – 1 V8.5 - 52	Virus scanning on all desktops in the AOC, Supreme Court and all AJIN computers (ACAP, JOLTS and APETS sites) statewide

Software Application	Vendor/Internal Development	No. Users	Comments
Microsoft Project	Microsoft	70	Project planning tool
MQ Series	IBM	113	Server-based message broker software for integration projects
MQ Series Integrator	IBM	3	Server-based message broker software for content-based routing and application development
NetView	IBM	0	Used to manage LAN and WAN
Parent Assistance Hotline	Internal development Remedy AR System	5	Call tracking and referral information database Remedy AR System application was replaced by an in-house custom application.
PowerBuilder	Sybase	29	Development tool for new applications
PowerGen	E Crane, Inc	1	Developer tool for PowerBuilder
HOW	Riverton	3	Case development tool, UML modeling tool; PowerBuilder and BV code generator
PowerPoint	Microsoft	799 internal computers	Primary presentations application
Quick Test Pro	Mercury	5	Test script execution product that supports regression testing
Quality Center	Mercury	225	Used as part of a structured testing methodology to script and track testing
Remedy	Vendor	201	Call/service request tracking application used by IT Support Center; user access via web browser provided for lookup
Training Server	ThinQ	Internal: 22 Statewide: 2000	A learning management system tracking employee education, enhanced with an internally developed online web registration module
Visio	Microsoft	Client: 191	Diagram/flow charting software

<b>Software Application</b>	<b>Vendor/Internal Development</b>	<b>No. Users</b>	<b>Comments</b>
<b>Weekly Exception Time Reporting (WETR)</b>	Internal development on AS/400	438	Records leave and weekly time
<b>Word</b>	Microsoft	799 internal computers	Word processing software
<b>WETR Online</b>	Internal development	Intranet Application	AOC Intranet application used for timekeeping
<b>Online Leave Requirements</b>	Internal development	Intranet Application	AOC Intranet application used for leave requests

# **APPENDIX - C**

## APPENDIX – C. ACRONYMS AND ABBREVIATIONS

<b>ACAP</b>	Arizona Court Automation Project
<b>ACCH</b>	Arizona Computerized Criminal History System
<b>ACE</b>	Arizona Court eFiling
<b>ACJA</b>	Arizona Code of Judicial Administration
<b>ACJC</b>	Arizona Criminal Justice Commission
<b>ACJIS</b>	Arizona Criminal Justice Information System
<b>ACS</b>	Access Control Server
<b>ADOA</b>	Arizona Department of Administration
<b>ADRS</b>	Arizona Disposition Reporting System
<b>AGAVE</b>	The COT-approved CMS used by Pima Superior Court and the Pima Clerk's Office
<b>AJACS</b>	Arizona Judicial Automated Case System
<b>AJB</b>	Arizona Judicial Branch
<b>AJC</b>	Arizona Judicial Council
<b>AJIN</b>	Arizona Judicial Information Network
<b>AMCAD</b>	American Cadastre, LLC., vendor for the AJACS case management system
<b>AO</b>	Administrative Order
<b>AOC</b>	Administrative Office of the Courts
<b>APETS</b>	Adult Probation Enterprise Tracking System

<b>ARS</b>	Arizona Revised Statutes
<b>AS/400</b>	IBM's midrange business computing platform and operating system
<b>ASET</b>	Arizona Strategic Enterprise Technology Office, an executive branch agency
<b>ATTC</b>	Arizona Traffic Ticket Complaint
<b>AVT</b>	Automated Validation Table
<b>AZAFIS</b>	Arizona Fingerprint Identification System
<b>AZTEC</b>	Arizona Courts' legacy case and cash management system software being replaced by AJACS
<b>AZTRACS</b>	See TRACS
<b>AZYAS</b>	Arizona Youth Assessment System
<b>BI</b>	Business Intelligence
<b>C2C</b>	Court-to-Court Records Transfer Program
<b>CACC</b>	Court Automation Coordinating Committee (formerly LVCC), as subcommittee of COT
<b>CASA</b>	Court Appointed Special Advocate
<b>CBT</b>	Computer-Based Training
<b>CCI</b>	Central Case Index
<b>CCM</b>	Common Code Mapping
<b>CDR</b>	Central Document Repository
<b>CIO</b>	Chief Information Officer
<b>CLD</b>	Certification and Licensing Division of the AOC

<b>CMS</b>	Case Management System
<b>COJET</b>	Committee on Judicial Education and Training
<b>COT</b>	Commission on Technology, a committee of AJC
<b>CPOR</b>	Court Protective Order Repository
<b>CSD</b>	Court Services Division of the AOC
<b>CY</b>	Calendar Year
<b>DCATS</b>	Dependant Children's Automated Tracking System
<b>DCSD</b>	Dependant Children's Services Division of the AOC
<b>DDP</b>	Defensive Driving Program
<b>DDS</b>	Defensive Driving School
<b>DDTS</b>	Defensive Driving Tracking System
<b>DES</b>	Department of Economic Security
<b>DNS</b>	Domain Name Server
<b>DOR</b>	Department of Revenue
<b>DPS</b>	Department of Public Safety
<b>DTM</b>	OnBase's Document Transfer Module
<b>DUI</b>	Driving Under the Influence
<b>DVR</b>	Digital Video Recording
<b>E-CITATION</b>	An electronic means of opening a case within a CMS, typically by law enforcement

<b>E-COURT</b>	An ad hoc subcommittee of the Commission on Technology charged with accelerating the adoption of e-filing in Arizona courts
<b>E-FILING</b>	Electronic filing of case-related information formerly done using paper
<b>E-SIGNATURE</b>	Electronic means of providing the function of a wet signature on a document, e.g., “/s/”
<b>EA</b>	Enterprise Architecture, codified in ACJA §1-505
<b>EBP</b>	Evidence-Based Practices
<b>ECF</b>	Electronic Court Filing Specification
<b>EDM</b>	Electronic Document Management
<b>EDMS</b>	Electronic Document Management System
<b>EFM</b>	Electronic Filing Manager
<b>EFSP</b>	Electronic Filing Service Provider
<b>ESB</b>	Enterprise Service Bus (formerly called “data bus”)
<b>ETL</b>	Extract, Transfer, Load (process that moves data between databases)
<b>FARE</b>	Fines, Fees and Restitution Enforcement Project
<b>FCRB</b>	Foster Care Review Board
<b>FTP</b>	File Transfer Protocol
<b>FY</b>	Fiscal Year
<b>GITA</b>	Government Information Technology Agency (now ADOA ASET)
<b>GJ</b>	General Jurisdiction
<b>GJXDD</b>	Global Justice XML Data Dictionary

<b>GJXDM</b>	Global Justice XML Data Model
<b>GJXML</b>	Global Justice Extensible Markup Language
<b>HTML</b>	Hypertext Markup Language
<b>iCIS</b>	Maricopa Superior Court's and Justice Courts' case management system
<b>ICJIS</b>	Integrated Criminal Justice information System (Maricopa County)
<b>ICOTS</b>	Interstate Compact Offender Tracking System
<b>ID</b>	Identifier
<b>IEPD</b>	Information Exchange Package Documentation
<b>IP</b>	Internet Protocol
<b>IPT</b>	Internet Pass Through
<b>IT</b>	Information Technology
<b>ITAC</b>	Information Technology Authorization Committee, an executive branch committee
<b>ITD</b>	Information Technology Division, a division of the AOC
<b>IVR(U)</b>	Interactive Voice Response (Unit)
<b>JCEF</b>	Judicial Collections Enhancement Fund
<b>JEC</b>	Judicial Education Center
<b>JJSD</b>	Juvenile Justice Services Division of the AOC
<b>JLBC</b>	Joint Legislative Budget Committee
<b>JOLTS</b>	Juvenile Online Tracking System

<b>JPIJ</b>	Judicial Project Investment Justification
<b>JPR</b>	Judicial Performance Review
<b>JUSTIS</b>	Judicial Statewide Information Service
<b>JWI</b>	Justice Web Interface
<b>LATA</b>	Local Access and Transport Area
<b>LJ</b>	Limited Jurisdiction
<b>MCJC</b>	Maricopa County Justice Courts
<b>MDC</b>	Mobile Data Computer
<b>MPLS</b>	Multi-Protocol Label Switching
<b>MVD</b>	Motor Vehicle Division (of the Arizona Dept. of Transportation)
<b>NAS</b>	Network Area Storage
<b>NCSC</b>	National Center for State Courts
<b>NIEM</b>	National Information Exchange Model
<b>NLETS</b>	National Law Enforcement Telecommunications System
<b>OASIS</b>	Organization for the Advancement of Structured Information Standards
<b>OMEA</b>	Online Minute Entry Application
<b>OPDJ</b>	Office of the Presiding Disciplinary Judge
<b>O/S</b>	Operating System
<b>PACC</b>	Probation Automation Coordinating Committee, a subcommittee of COT

<b>PBX</b>	Private Branch Exchange
<b>PC</b>	Personal Computer
<b>PCCJC</b>	Pima County Consolidated Justice Court
<b>PDF</b>	Portable Document Format
<b>PEP</b>	Penalty Enforcement Program
<b>PKI</b>	Public Key Infrastructure
<b>PMO</b>	Project Management Office
<b>POP</b>	Point of Presence
<b>PSI</b>	Pre-Sentence Investigation
<b>PTS</b>	Pre-Trial Services
<b>Q&amp;A</b>	Questions and Answers
<b>QA</b>	Quality Assurance
<b>QMOE</b>	Qwest Metro Optical Ethernet
<b>RAM</b>	Random Access Memory
<b>RFP</b>	Request for Proposal
<b>ROA</b>	Record of Actions or Register of Actions
<b>ROAM</b>	Rapid Online Access Method (formerly Smart Data Layer)
<b>SAN</b>	Storage Area Network
<b>SLAPR</b>	Arizona State Library, Archives, and Public Records

<b>SSIA</b>	SQL Server Integration Services
<b>SSIS</b>	SQL Server Integration Services
<b>SSRS</b>	SQL Server Reporting Services
<b>SWID</b>	(Juvenile Probation) Statewide Identifier
<b>TAC</b>	Technical Advisory Council, a subcommittee of COT
<b>TIP</b>	Tax Intercept Program
<b>TRACS</b>	Traffic and Criminal Software (law enforcement software application)
<b>TTEAP</b>	Traffic Ticket Enforcement Assistance Program, including penalties for all delinquent court obligations and holds on vehicle registration renewals, as provided by law
<b>UA</b>	Urinalysis
<b>UBE</b>	Uniform Bar Examination
<b>UETA</b>	Uniform Electronic Transactions Act
<b>UPS</b>	Uninterruptable Power Supply (or Source)
<b>VOIP</b>	Voice Over Internet Protocol
<b>VM</b>	Virtual Machine
<b>VPN</b>	Virtual Private Network
<b>WAAS</b>	Wide Area Application Services, a Cisco product
<b>XML</b>	Extensible Markup Language

# **APPENDIX - D**