

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:

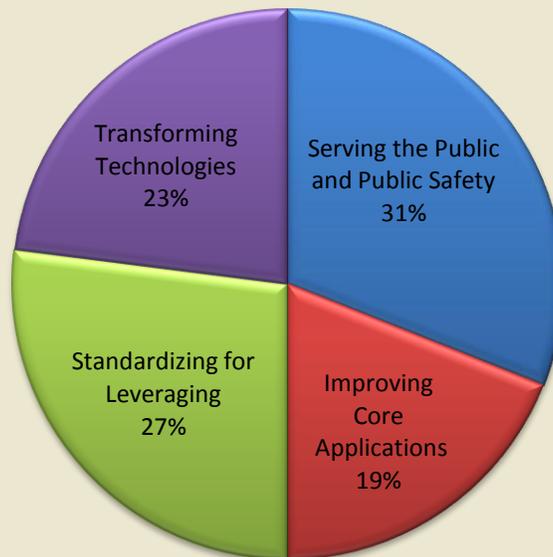
STRATEGIC PROJECTS	
TOP TIER, E-FILING	
CIVIL CASE ELECTRONIC FILING — MARICOPA & PIMA	
JUDGE AUTOMATION	
AJACS - E-FILING	
TOP TIER, COURT AUTOMATION	
AJACS —LARGE VOLUME/MESA ENHANCEMENTS	
JOLTSAZ — PIMA IMPLEMENTATION	
FARE	
AJACS — AZTEC REPLACEMENT	
AJACS (GJ) Enhancements	
NEXT TIER	
ELECTRONIC 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
Using Systemic Thinking	All
Serving the Public and Public Safety	JOLTSaz Pima Implementation JOLTSaz Rural Implementation e-Filing (all related projects) Electronic Case Information & Document Access AJACS e-Filing Integration Electronic Warrants
Improving Core Applications	AJACS GJ Enhancements AJACS AZTEC Replacement AJACS LV/Mesa Enhancements APETS-AJACS Integration FARE Integration
Standardizing for Leveraging	AJACS AZTEC Replacement AJACS LV/Mesa Enhancements JOLTSaz Pima Implementation JOLTSaz Rural Implementation e-Filing (all related projects)
Transforming Technologies	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.

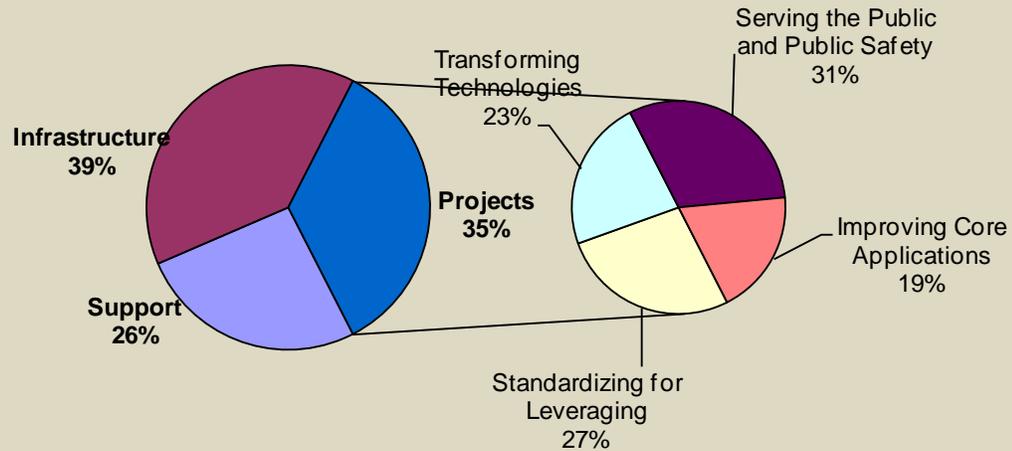
STRATEGIC PROJECTS BY OBJECTIVE



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.

STATEWIDE TECHNOLOGY 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.

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 Filing Related Projects	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.
Integration-Related Projects	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.
New Case Management Systems 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"> • Juvenile Court: JOLTSaz, • Limited Jurisdiction Court: AJACS, and • General Jurisdiction Court: AJACS.

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"> • Juvenile Court: JOLTSaz. 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:

STRATEGIC PROJECTS	UTILITY	ENHANCEMENT	FRONTIER
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	X	New		High
Enhancement		On-going	X	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.

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.

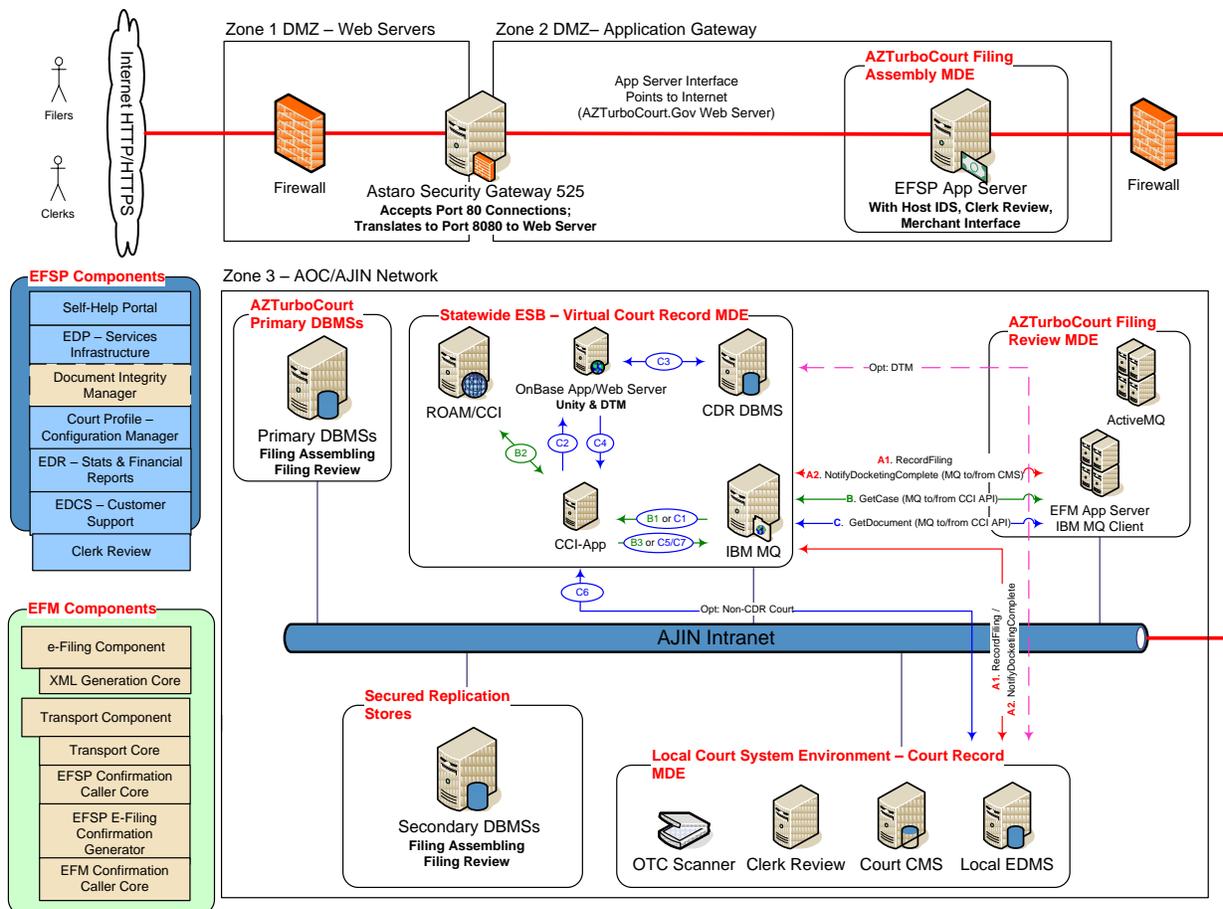
Related projects described in prior plans include court-to-court records transfer (C2C) and justice partner filings on criminal cases into the Arizona Supreme Court and Court of Appeals Division One (ACE). ACE was retired in 2010 after AZTurboCourt was configured to accept Arizona Supreme Court and Court 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
Revised 6/24/2010 8:24:17 AM



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.

SNAPSHOT				
CLASS		STATUS		RISK
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, JOLTSAZ, 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	×	On-going	×	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, 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	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"/>	<input type="text"/>						
Last Action				Follow-Up Date	<input type="text"/>		
<input type="text"/>				Queue To	<input type="text"/>		
Status				Assignment	<input type="text"/>	Comment Action	<input type="text"/>
<input type="text"/>				Priority	<input type="text"/>	<input type="text"/>	<input type="text"/>
				Comment	<input type="text"/>		
				<input type="button" value="View History"/>			
Comments				<input type="text"/>			
<input type="text"/>							

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	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.

NEW 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.

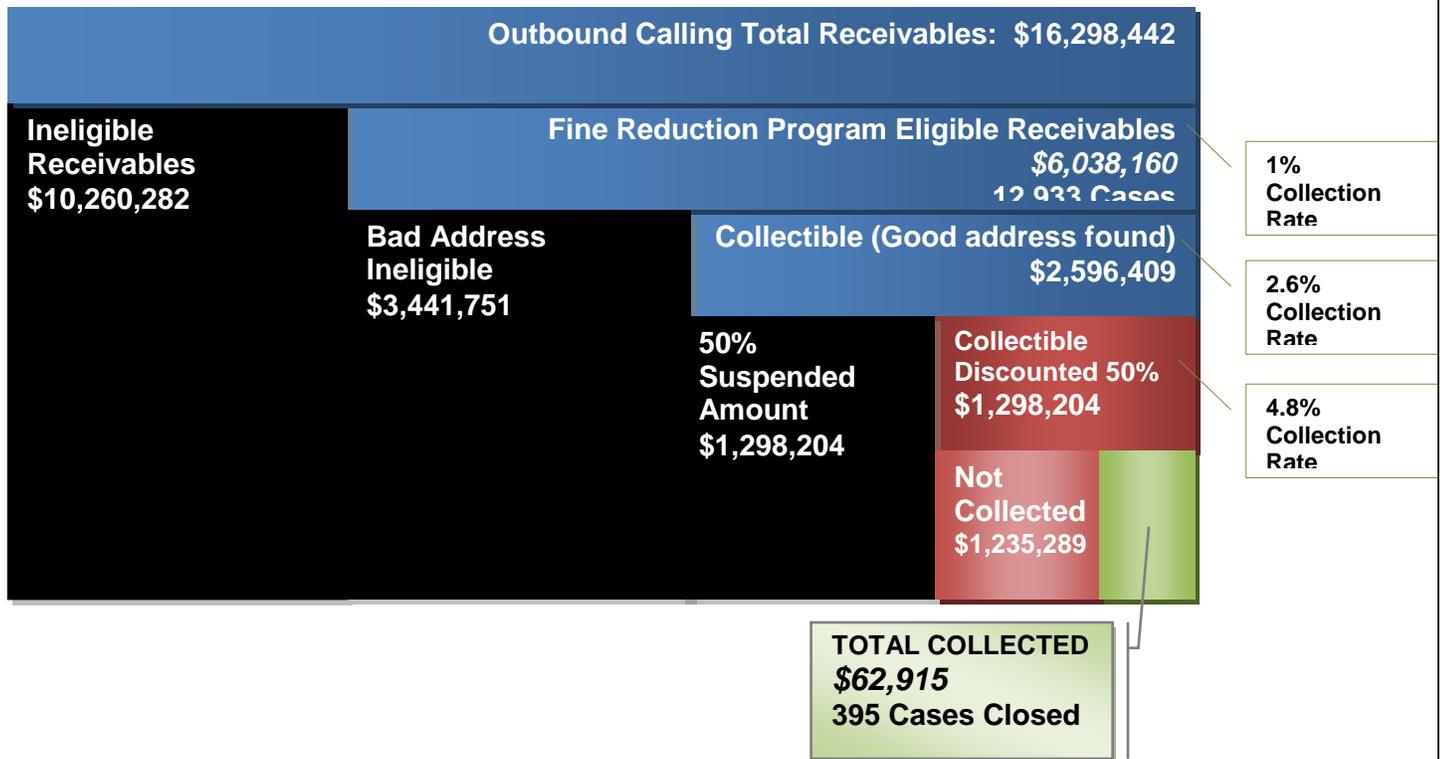
In accordance with Phase IV of PEP, the AOC hired a consultant to examine the current collection practices of the Arizona courts and various options for enhancing these collections. In December 2002, the consultant reported to the Arizona Judicial Council that outsourcing part, but not all, of the collections 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.

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	×	New		High
Enhancement		On-going	×	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.

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.

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	×	New		High
Enhancement		On-going		Medium
Frontier		Replace/Upgrade	×	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.