

ARIZONA JUDICIAL BRANCH



INFORMATION TECHNOLOGY STRATEGIC PROJECTS

FOR FISCAL YEARS 2017-2019

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 2017 through 2019. These projects arise from the strategic initiatives above and support *Advancing Justice Together: Courts & Communities 2014-2019's* business goals as well as the Commission on Technology's goals for court automation. Most are on-going projects focused on attaining the objectives 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 June 2015 strategic planning session, Commission members removed the previous general tiers of priorities in favor of a single, more general listing along with a set of agreed projects requiring resources, listed in no specific order.

The Arizona Judiciary's strategic information technology projects for 2017-2019 are:

STRATEGIC PROJECTS
DEPLOY MULTI-VENDOR E-FILING CAPABILITY
DEPLOY JUDGE AUTOMATION
LAUNCH EACCESS
PROVIDE AUTOMATED NOTIFICATION CAPABILITY
JOLTSAZ DEPLOYMENT
AJACS — AZTEC REPLACEMENT
CRIMINAL EFILING
JUSTICE COURT EFILING
FARE – INFRASTRUCTURE PORT
TIME STANDARDS REPORTING
EWARRANT EXPANSION
EDOCUMENT HYPERLINKING
APPELLATE CMS
2FID DEPLOYMENT
SCOTTSDALE CMS INTEGRATION
FARE IMPLEMENTATIONS IN NON-STANDARD COURTS

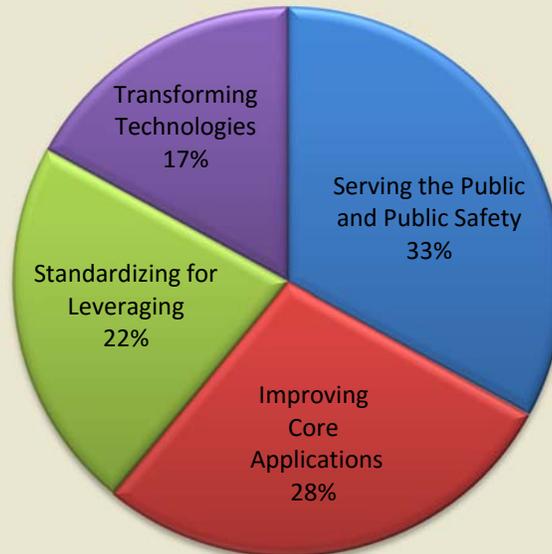
These technology projects address five main objectives. Below the projects are listed by these objectives:

OBJECTIVE	PROJECTS
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Using Systemic Thinking	All
Serving the Public and Public Safety	JOLTSaz Deployment Multi-Vendor e-Filing Capability eAccess Automated Notification Capability Justice Court eFiling eWarrant Pilot Criminal eFiling2FID Deployment
Improving Core Applications	AJACS AZTEC Replacement FARE – Infrastructure Port JOLTSaz Deployment eDocument Hyperlinking Automated Notification Capability
Standardizing for Leveraging	AJACS AZTEC Replacement Multi-Vendor e-Filing Capability Time Standards Reporting FARE Implementations
Transforming Technologies	Judge Automation Multi-Vendor e-Filing Capability eWarrant Expansion Appellate CMS

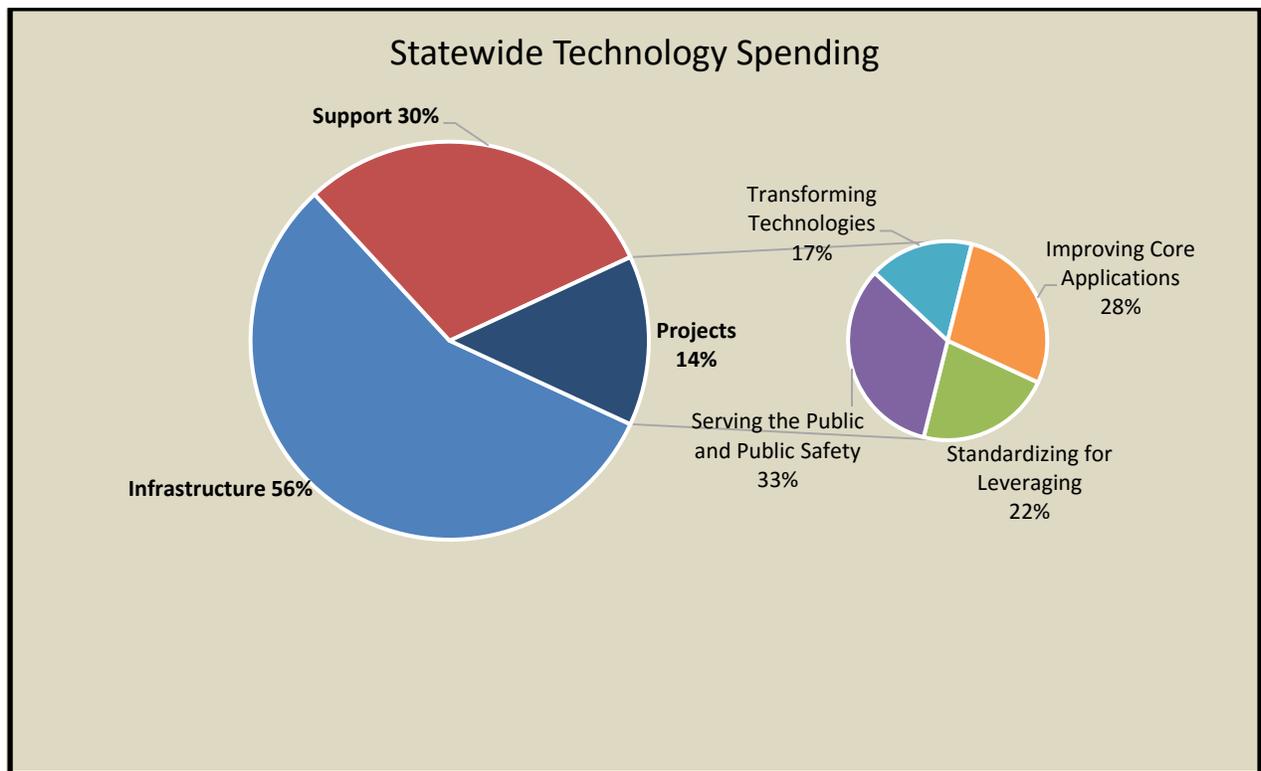
In addition, there are many technology-related activities and projects within the judiciary that support day-to-day operations. Staff must, for instance, provide continued support for the existing core applications and infrastructure. Existing projects need to be completed or supported with required 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 slightly toward the categories of “Serving the Public and Public Safety” and “Improving Core Applications.” Several of these projects involve standardizing, reengineering and collaborating to find, automate, and train on best practices, thus leveraging judicial resources statewide.

Further, upwards of three-quarters of court technology spending remains dedicated to refreshing and supporting the existing infrastructure, applications, and staff. Project work (CMSs, document access, judge automation, integrated justice applications) represents less than one-eighth of the overall spending this year, a reduction from previous years as the results of earlier projects transfer into the support category of spending.



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

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

- Alignment with *Advancing Justice Together: Courts & Communities 2014-2019*
- 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 2017-2019	
TECHNOLOGY STRATEGIC PROJECTS	ALIGNMENT WITH “ADVANCING JUSTICE TOGETHER COURTS & COMMUNITIES 2014-2019”
Electronic Filing Related Projects including eServices	<p>Expand access to web-based forms, e-filing, and information describing legal terms and court procedures.</p> <p>Extend e-filing to courts statewide.</p> <p>Explore the use of technology-based access to justice solutions being developed in other courts.</p> <p>Create an electronic noticing system to remind parties, probationers, and other court participants of upcoming court dates.</p>
Integration-Related Projects	<p>Modernize to improve court processes and information gathering, tracking, and sharing.</p> <p>Expand use of e-Citation to electronically transfer citation information from law enforcement to the courts.</p> <p>Modernize the state’s warrant repository system.</p>
New Case Management Systems	<p>Implement Arizona Judicial Automated Case System (AJACS) in limited jurisdiction courts.</p> <p>Provide case management system enhancements, including reporting capabilities.</p> <p>Enhance or replace appellate case management systems.</p>
Time Standards Reporting	<p>Improve timeliness and efficiency of civil, criminal, juvenile, family, and probate case processing in Arizona courts by:</p> <ul style="list-style-type: none"> • Adopting case processing time standards, • Providing case management system enhancements, including reporting capabilities.

**INFORMATION TECHNOLOGY STRATEGIC PROJECTS
FISCAL YEARS 2017-2019**

TECHNOLOGY STRATEGIC PROJECTS	ALIGNMENT WITH "ADVANCING JUSTICE TOGETHER COURTS & COMMUNITIES 2014-2019"
Probation Automation Development / Enhancements	<p>Fully implement Juvenile On-Line Tracking System (JOLTSaz) in juvenile courts.</p> <p>Integrate Adult Probation Enterprise Tracking System (APETS) with AJACS.</p> <p>Evaluate and, as appropriate, implement new or expanded evidence-based programs for Arizona's Adult and Juvenile Probation services.</p>
Automated Notification Capability	<p>Create an electronic noticing system to remind parties, probationers, and other court participants of upcoming court dates.</p>
Automation Training	<p>Conduct a judicial education needs assessment to identify new or enhanced training for judges including, but not limited to effective use of technology on the bench, in chambers, and remotely.</p> <p>Prepare court leadership for next generation case management systems and technology.</p>
Enterprise Architecture	<p>Implement the Central Case Index to enable the flow of critical court data.</p> <p>Increase use of social media to improve communications with the public.</p>
Electronic Document Access	<p>Explore the use of technology-based access to justice solutions being developed in other courts.</p> <p>Expand electronic access to court documents and data with appropriate protections for security and privacy.</p>
Judge/Bench Automation	<p>Improve timeliness and efficiency of civil, criminal, juvenile, family, and probate case processing in Arizona courts by</p> <ul style="list-style-type: none"> • Implementing e-bench tools that allow judges to more efficiently manage and resolve cases, • Providing judicial workload tools to assist presiding judges when making case assignments. <p>Conduct a judicial education needs assessment to identify new or enhanced training for judges including, but not limited to effective use of technology on the bench, in chambers, and remotely.</p>

**INFORMATION TECHNOLOGY STRATEGIC PROJECTS
FISCAL YEARS 2017-2019**

TECHNOLOGY STRATEGIC PROJECTS	ALIGNMENT WITH "ADVANCING JUSTICE TOGETHER COURTS & COMMUNITIES 2014-2019"
<p align="center">Data Exchanges</p>	<p>Implement the Central Case Index system to enable the flow of critical court data to and from federal, state, and local justice system entities.</p> <p>Collaborate with other justice system entities to develop and implement data collection and exchange strategies that leverage technology, including:</p> <ul style="list-style-type: none"> • Expanding e-warrants project to other justice system entities, • Modernizing the state's warrant repository system, • Making mental health court orders available to appropriate criminal justice and treatment officials, • Making condition of release information available to appropriate criminal justice officials, and • Improving accuracy and completeness of the state's criminal history repository and National Instant Criminal Background Check System (NICS).

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 2016 annual planning meeting.

ALIGNMENT OF STRATEGIC PROJECTS WITH AUTOMATION GOALS			
STRATEGIC PROJECTS	BUSINESS & AUTOMATION INFRASTRUCTURE	ACCESS & COMMUNICATION	JUDICIAL EFFECTIVENESS
Multi-Vendor eFiling Capability		X	X
Judge Automation			X
Electronic Document Access	X	X	
Automated Notification Capability		X	
JOLTSaz Deployment	X		X
AJACS (LJ) AZTEC Replacement	X	X	X
Criminal eFiling		X	X
Justice Court eFiling		X	X
FARE—Infrastructure Port	X	X	
Time Standards Reporting			X
eWarrant Expansion		X	
eDocument Hyperlinking		X	X
Appellate CMS	X		X
2FID Deployment	X		
Scottsdale CMS Integration	X		
FARE Implementations in Non-Std Courts			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 the eDocument Hyperlinking and the FARE infrastructure port to transition the central data repository to newer, supported technology.

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 now in maintenance mode and are no longer identified as priority projects. It is expected that these applications will continue to be supported and maintained during the plan period. These include, for instance, AZTEC, the first-generation statewide case management system, the Tax Intercept Program (TIP), 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 *Advancing Justice Together*.

Constructing additional functionality on top of what currently exists, like AJACS and eFiling Enhancements, Electronic Document Access, Automated Data Destruction, and Online Citation Payment, qualifies as an enhancement, as does NICS Reporting. The rollout of the LJ case management system also falls in the category of an enhancement since it builds upon the base code of the GJ case management system.

Since return on investment decreases as a function of remaining useful life, AZTEC development efforts were halted as AJACS began to be implemented. AZTEC must continue to be updated for supportability and 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 then Vice Chief Justice Andrew Hurwitz spurred on 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 always engaged in a few significant 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, electronic warrant, and Appellate CMS 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 bases. For example, the project titled “Automation Training and Support” includes a centralized support center, field support technicians, and several independent projects developing context-sensitive 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
Multi-Vendor e-Filing Capability			X
Judge Automation		X	
Electronic Document Access		X	
Automated Notification Capability		X	
JOLTSaz Deployment	X		
AJACS (LJ) AZTEC Replacement		X	
Criminal e-Filing		X	
Justice Court eFiling		X	
FARE – Infrastructure Port	X		
Time Standards Reporting		X	
eWarrant Pilot			X
eDocument Hyperlinking			X
Appellate CMS			X
2FID Deployment	X		
Scottsdale CMS Integration	X		
FARE Implementations in Non-Std Courts	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 AND SUPPORT

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Provide desktop, software, and hardware support for ACAP, JOLTS, APETS, and AOC users.
- Provide phone support for statewide and AOC applications.
- Provide on-going support for releases of core application software including future rapid release cycles of the Windows operating system, browsers, and the Microsoft Office Suite.
- 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.
- Achieve and maintain a service level of 80% of all calls answered within 20 seconds.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

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 version 1.551.
- Held 21 AZTEC classes with 81 attendees, and provided 2300 man hours of training support to 9 courts that transitioned from AZTEC to AJACS.

- Additionally, one-on-one phone training was provided to numerous users as a result of questions/problems submitted through Remedy.

SUPPORT SERVICES PROVIDED:

- An average of 352 support calls for AZTEC/AJACS courts received each month (an additional 301 per month for AZTEC handled through CSD Automation Services Unit).
- An average of 42 support calls for APETS received each month.
- An average of 210 support calls for JOLTS on a monthly basis.
- An average of 1400 support calls for AOC/Supreme Court on a monthly basis.
- An average of 469 information calls handled for Public Access and/or FARE on a monthly basis.
- An average of 680 support calls for AZTurboCourt on a monthly basis.
- An average of 3638 calls per month were diverted by TTEAP self-service facility.
- New software releases/updates of Windows 8.1 and Office 365 as well as AZTEC, DCATS, TIP, AJACS, and other AOC-sponsored applications continued to be tested then deployed through Microsoft System Center.
- 276 custom reports were also developed for AZTEC courts during the year.

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

PROJECT DESCRIPTION

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

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

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

PHONE AND TECHNICAL SUPPORT

User phone support and field support functions are consolidated into a single Support Services group.

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

- 3074 PCs for statewide ACAP, JOLTS, and APETS users
- 576 PCs for AOC/Supreme Court users

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.

Distributed system management is part of the funded ACAP Support effort. The software, Microsoft System Center, is part of the "image" on PCs delivered as part of the most recent technology refresh.

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 continued to spend numerous 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 conducted by a live instructor over the intranet. 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 context sensitive within each software application.

Video training is now included with the preparation of training documentation. This includes embedding short video clips within PowerPoint presentations and standalone videos to alleviate the time and expense of travel and *per diem* when training new users or when new functionality becomes available.



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. A Statewide Minimum Security Standards document has been ratified by TAC, COT and AJC. This document sets minimum requirements that all statewide judicial agencies as well as outside agencies that connect to the courts' network must follow. Work continues on compiling and analyzing 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, most notably the federal Office of Management and Budget hack revealing personal information of over 21 million individuals background checked by the government and their references. 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.

Recognizing that 90 percent of system weaknesses that are exploited relate to human error or lack of diligence, the judiciary has instituted an annual cybersecurity training

requirement for every employee regardless of job role or level of court. New materials are issued frequently to ensure the training topics keep pace with the escalating arms race of cybersecurity.

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.
- Maintain a cost-effective, survivable environment for all court data associated with statewide applications. Identify and build-out a new hotsite location in support of relocating equipment residing in the DES Data Center.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Compared costs of commercial and government sites to house the relocation of the equipment currently at DES. Key requirements included:
 - Level 3 or Level 4 building security
 - Minimum Tier 3 infrastructure components. Must guarantee 99.982% availability.
 - Sufficient bandwidth to the AOC to support all current and future application requirements.
 - Network access to court locations statewide, and
 - Rack space for 5 existing racks.
- Selected and completed negotiations for a lower cost/lower function second site by co-locating equipment at the Govnet Data Center, since funding was insufficient to procure full BCDR at a commercial site. All computing and network equipment residing at the DES location was relocated in early 2016.
- AOC staff continued to analyze and refine information provided in the risk assessment tools previously returned from the courts, as well as look into options to reduce the cost of implementing a disaster recovery environment.

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 case 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,
- Central Document Repository (CDR),
- JOLTS and JOLTSaz applications,
- APETS application,
- E-mail application,
- Criminal history access (to DPS).

Note that the assessments were completed before the advent of e-filing, NICS, and CCI projects having widespread impact on the rural counties.

Completed risk assessments returned have also 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.



PROJECT GOALS AND ACCOMPLISHMENTS

CASAaz, is a new, web-based application used by court appointed special advocate (CASA) volunteers to track their cases.

PROJECT GOALS

- Implement the CASAaz statewide application in the remaining rural counties statewide.
- Provide enhancements to the application in Phase II that were not included in the original Phase I scope.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Completed development in April 2015 and provided application to Pinal, the pilot county, in May 2015.
- Following Pinal, JOLTSaz was rolled out to Pima, Yuma, La Paz, Gila, and Santa Cruz counties in Fiscal Year 2016.
- Scheduled Cochise and Mohave counties for Fiscal Year 2017 beginning in July 2016.

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



PROJECT DESCRIPTION

Court Technology Services (CTS) at Maricopa Superior Court developed and implemented a web-based application for CASA volunteers in Maricopa County. AOC obtained a copy of the source code in May 2014 with the intent of providing its functionality to the remaining counties in the state.

The Maricopa application was then redesigned to meet AOC's architectural standards and sourced from the JOLTS and JOLTSaz statewide automation systems. CASAaz now also provides additional security features at the county level. Along with the new functionality, .gov email accounts hosted by GoDaddy, are also being provided to all CASA coordinators and volunteers.

Development is underway for CASAaz Phase II to complete 70 enhancements that will make it an even more effective and efficient tool for victim advocates. Implementation is scheduled for September 2016.



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 and limited jurisdiction court case and cash management automation.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Continued planning and deploying prioritized improvements to AJACS for limited jurisdiction courts.
- Continued formal AJACS version control and staging processes for future AJACS releases.
- Continued planning and development activities for AJACS GJ Version 6.0.
- Set up a GJ 6.0 Test Environment for configuration and testing
- Continued to support AJACS Version 3.9 in all Superior Courts.
- Continued GJ CMS User Group monthly meetings.
- Continued implementing the AJACS Time Standards Reports throughout all 13 Superior Courts.
- Continued work with the e-Filing team to develop the e-filing interface for the GJ CMS.
- Began providing NICS information from the GJ AJACS CMS.
- Implemented a quarterly release of enhancements and bug fixes to all LJ AJACS courts.

SNAPSHOT					
CLASS		STATUS		RISK	
Utility	X	New	X	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 replacement of 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.

In the aftermath of moving the GJ CMS to a maintenance project, the AOC has installed three complete version upgrades and has applied multiple production patches to bring the software to its current version with the Superior Courts enabled to perform all of their court business processes within the application.



PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Complete the Probation Tails Project
 - Enhance the manner in which APETS processes the sentence of a probation tail within a single sentencing court action by adding a new disposition entry;
 - Convert all appropriate, existing data in APETS to reflect the accurate status of a probation tail;
 - Develop a new process to label a probation tail when sentencing occurs in more than one sentencing court action on the same date;
 - Introduce changes to ensure probation tail data in APETS remains constant and accurate; and
 - Create a method in APETS to identify a client that is either serving or will serve a probation tail.

- Complete the JWJ Convicted Persons on Supervised Release (CPSR) Phase II Project first implemented in 2013 for Maricopa County.
 - Continue the Phase I interface, using the JWJ application, to transmit necessary data to ACJIS to alert law enforcement of probationers who have been deported. This also enables DPS contact with an individual who has illegally re-entered the U.S. to be reported as a violation of probation.
 - Expand reach via Phase II of this project to all deported probationers for Pima and the rural counties as well as all intensive probationers for all counties statewide.

- Convert the APETS PowerBuilder application to C# language while incorporating necessary enhancements over yearly increments. Project scope includes the conversion to C# of 18 stand-alone APETS service applications and the APETS reporting application.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Completed APETS services upgrades for UA and e-mail services in October 2015.
- Implemented Bonsai Build in November 2015 including a zoom feature, improvements with interstate tracking, a new UA/BA Frequency Response screen, and other enhancements that benefitted APETS users.
- Modified the way APETS receives UA/BA data from vendors, NORCHEM and TASC, to comply with COT standards. Work got underway with UA/BA vendor TASC to provide a new service allowing requests for updated client demographic data from APETS to use in their system once they are authorized by a county and AOC to do so.
- Continued to support and maintain the APETS production system throughout the year.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New		High
Enhancement	×	On-going	×	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 2,100 users statewide that access the system on a 24/7 basis.

Beginning with Pretrial, defendants 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.

APETS provides service interfaces to share specific adult probation data with DPS, the FBI, and several county systems.



CORE SOFTWARE & SUPPORT - APPELLAMATION -

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Continue to provide comprehensive case management system software for all state appellate courts.
- Continue to expand the highly acclaimed record on appeal electronic transfer system (eAppeal/C2C) to additional administrative tribunals (e.g., DES Unemployment Insurance).
- Standardize court operations and procedures across appellate courts, where possible, through the use of automated tools and assistance. Engage in a continuous requirements analysis effort.
- Integrate to emerging court community document management and production systems and standards.
- Continue enhancement and improvement of Appellamtion, including workflow management, issue management, work product management.
- Continue integration with statewide e-filing through AZTurboCourt with expansion to accommodate the judiciary's new eUniversa e-filing product. Accommodate the new participant matching capability within the e-filing systems.
- Expand e-filing ingestion support to integrate transcript filings to the transcript module. Explore and evaluate Clerk Review improvements, CMS integration, or replacement with Appellamtion clerk review module.
- Provide support for case management information access and document access through handheld devices and other mobile devices.
- Integrate the appellate case management system with posting and update of case opinions and memorandum decisions to the court's website.
- Migrate from ROAM to CCI (Central Case Index).

- Continue modernization efforts; maintain current technology in hardware, networking, and software. Identify, explore, and evaluate options.
- Implement electronic record retention and destruction capabilities.
- Integrate to the AOC's new DocLink system which provides secure hyperlinks in legal documents. Extend use of DocLink technology in the electronic dissemination of court documents to filers and the public.
- Continue to provide a leadership role in the continued development and publication of electronic filing standards through continued participation in the OASIS LegalXML Electronic Court Filing Technical Committee (ECF-TC). The ECF-TC is currently finalizing the standards for the next major version of the e-filing standards (ECF-5).
- Address support and staffing needs. Engage succession and continuity planning.
- Accommodate the expansion of the Supreme Court bench to seven justices.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Finalized joint Supreme Court and Court of Appeals requirements for Appellamtion Version 6.2
- Upgraded Appellamtion to integrate with OnBase 15, consistent with statewide OnBase upgrade project.
- Upgraded the Appellamtion AZTurbocourt e-Filing Ingestor to use OnBase 15, Windows 2008, IBM MQ Client 7.5, and IBM SetNet 4.10.
- Developed Appellamtion 6.2, providing enhanced monthly calendaring tools, an at-issue manager, a work product manager, enhanced e-mail support, and numerous other enhancements and new features. Appellamtion 6.2 began its user acceptance testing (UAT) phase at fiscal-year end.
- Continued participation in the OASIS LegalXML Electronic Court Filing Technical Committee which currently defining the standards for the next version of the eFiling XML specification (ECF 5).
- Defined business requirements and technical specifications for new DocLink feature which will enable attorneys to include hyperlinks to court documents in briefs and other electronic filings. Began development activities for DocLink usage.
- Migrated Appellamtion users from Windows 8.1 to Windows 10.
- Evaluated possible technology modernization approaches, tools, and vendor options.

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

PROJECT DESCRIPTION

The Appellamation Project began in 1997 as a joint effort between ITD/AOC, the three appellate courts, and Progressive Systems, Inc. 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 and could be marketed by Progressive Systems. The system utilizes modern client/server technology on Windows platforms.

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 and in use by the Supreme Court and in the Court of Appeals, Division One for over 16 years.

The application is fully integrated with the judicial branch’s state standard document management system, OnBase, and is fully integrated with the judiciary’s Central Document Repository (CDR). Appellamation is also fully integrated with the judicial branch’s statewide e--filing system, AZTurboCourt, providing e-filing support for all case types, for both case initiation and subsequent filings with support for filing fee collections. The eAppeal/C2C module provides record on appeal assembly and electronic document transfer capability and is deployed statewide in all county courts.

The Supreme Court, the Court of Appeals, and the Appellamation development team plan continued improvement with further development and enhancement of new and improved 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.



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 2016

- Performed analysis and review of AZTEC-related hardware and software infrastructure needed to extend life until the move of all courts to the new case management system, AJACS, can be completed.
- Continued collaborating with court staff in preparing AZTEC data for conversion into the new case management system, AJACS, with emphasis on the timing of clean-up and deployment to individual courts.
- Partnered with ITD Infrastructure Operations in effort to provide long-term stability in AZTEC environment by upgrading servers.
- Revised numerous AZTEC warrant forms to comply with amendment to Criminal Rule 41, abrogating Forms 2(a) through (h) and substituting a new Form 2 in their place. Forms are being released in two phases.

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 developer is able 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.





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, 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 2016

- Provided continued support for the JOLTS system in the 9 remaining rural counties using the application, 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

Rolled out 23 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 9 rural counties use JOLTS today. Pima County converted to the new JOLTSaz system on June 30, 2013, followed by 4 rural counties so far. 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.

There are limitations with the JOLTS legacy system that need to be addressed. It is written in COBOL and includes multiple DB2 databases (one per county) that reside on an AS/400 platform. The cost to maintain JOLTS, with its current technology and support limitations, continues to increase dramatically each year.

The rollout of JOLTSaz, the next-generation application that will replace JOLTS in the rural counties, is progressing toward completion. Any future development on JOLTS is being balanced against the short remaining life of the application.





CORE SOFTWARE AND SUPPORT: OFFICE PRODUCTIVITY SOLUTIONS

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Deploy Windows operating system patches and upgrades to all AOC-issued devices on the AJIN network to remain secure and in support.
- Create production software images for rapid deployment on all device types.
- Create and remotely distribute training videos in support of new PCs/laptops/tablets in advance of upcoming deployments.
- Assist courts in any workarounds for local applications that are not yet compliant with new operating system and productivity software releases.
- Continue maintenance and support throughout complete test and deployment cycle.
- Maintain Microsoft System Center and the infrastructure required to manage software and security updates remotely to desktops across the state.
- Increase compliance rate and speed of future software/OS/security updates using an out-of-band management tool (vPro).
- Implement Microsoft SharePoint to increase productivity by encouraging widespread collaboration.
- Upgrade all users to Microsoft Office 2016 following migration of Exchange e-mail to a supported version.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Completed statewide PC refresh project begun in FY2015 for over 3800 devices.
- Implemented a cloud-based incident management system (RemedyForce) to reduce both maintenance and infrastructure costs.

- Provisioned all AOC-owned devices with vPro for out-of-band system management.
- Completed pilot phase of Windows 10 implementation that included zero-dollar Microsoft Consulting engagement.

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

PROJECT DESCRIPTION

In the wake of Microsoft Corp.’s change to a subscription model for software licensing, this ongoing project keeps all State-owned ACAP, external (ACAP and JOLTS), and AOC-internal PCs (about 3800 total) up to date with operating system and productivity software updates. Timely, ongoing updates are vital to maintaining a secure computing environment for courts. In addition to the need to lower security risks, continuing business needs are also taken into account when scheduling updates and their accompanying features to be placed into production.

Following the completion of the most recent hardware/software refresh, certain activities on the overall project roadmap that were previously considered out of scope began being addressed, including

- Internal design and use of OneDrive;
- Implementation of Microsoft SharePoint;
- Moving Exchange e-Mail Services to the cloud;
- Upgrading Active Directory to Version 2012 to obtain additional benefits;
- Using System Center as a complete deployment solution;
- Researching possible VOIP solutions with new network licensing for Application and Network Infrastructure;
- Determining possible bandwidth increases for the AJIN network;
- Providing solutions for ongoing training of all Office 365 applications for AJIN end-users;

- Creating a repeatable research and testing cycle for all upcoming Windows operating system and Microsoft Office 365 upgrades to ensure the AOC's return on investment is being realized for the Microsoft subscription licensing path; and
- Continually focusing on all Microsoft roadmaps and any other applications upgrades that will affect future office productivity needs on the AJIN network.





CORE SOFTWARE & SUPPORT – JUSTIS – Central Data Repository

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

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

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Continued analysis and design for CCI data architecture.
- Completed record security requirements for CCI.
- Completed data dictionary that defines the CCI data feed structures.
- Continued support of CCI Phase I data feed loads for Pima Superior Court.
- Began finalizing the Phase I data feed loads for Maricopa Superior Court.

- Completed CCI Phase I data feed loads for Cochise, Mohave, and Yavapai Superior Courts.
- Continued work for CCI Phase I data feed loads for the remaining AJACS Superior Courts.
- Continued support of the Public Access Victim Notification application using Maricopa Superior Court extracts / active criminal cases.
- Continued Support of FARE (Fines, Fees, and Restitution Enforcement Program) including:
 - Interim FARE interfaces with Chandler Municipal, AZTEC courts, and all 25 Maricopa Justice Courts;
 - FARE interfaces for AJACS;
 - Full FARE interfaces with Phoenix Municipal Court; and
 - TTEAP processing for FARE.

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

PROJECT DESCRIPTION

A strategic roadmap specifies the direction and evolution of the JUSTIS Data Warehouse to become the Statewide Central Data Repository. In this roadmap, current technological trends recommend a separation of concerns. Live data, transaction processing, and data analysis are all separated so that business needs can be met on different levels and on separate timelines. Disparate, case-related information held in various courts' systems of record are transported to centrally located Operational Data Stores (ODS) that provide transactional data to managed services operating across systems. This pattern is then expanded to business-unit-focused data marts for further reporting and analysis. Our approach is now collectively known as the Statewide Central Data Repository for the Judicial Branch.

The Central Data Repository functions as the primary statewide interface between the case management systems, other court automation systems, and outside agencies. Interfaces have been created in response to a need to collect statewide data in a central location and provide formatting that enables the data to be used in a consistent, governed manner. Based upon the need of specific projects, specifications have been created to describe the way to transfer information to and from the Statewide Central Data Repository. Transport services have been written to allow the information to be processed and loaded. A statewide view of most court information is now possible and an architectural standard is being developed to access this information through a set of

managed services. Some of these interfaces include CCI, FARE, CPOR, Public Access, and e-Filing.

The Central Data Repository provides the following court case information/functionality:

- A centralized case and person search capability for court personnel.
- The data collection mechanism for the publicly accessible court information via Intranet (AJIN) and Internet with different capabilities.
- The data collection mechanism for the statistical database needed to respond to both executive and legislative requests for statistical information about court activity.

Maintaining the Central Data Repository provides the following benefits:

- 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, research, and improving services to the courts.
- 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 Central Data Repository is the ability to provide court data for statewide analysis and statistical reporting. All report generation is in accordance with the policies established by the Arizona Judicial Council (AJC).

The Central Data Repository provides the foundation for the development and support of FARE, part of the Penalty Enforcement Program. It also provides the main interface among the courts (AZTEC, AJACS, and other CMSs), external agencies (MVD), and service providers.

Statistical reporting data as well as other aggregates have been built into a data mart infrastructure to support other required analysis and planning. AOC is able to enhance the Central Data Repository as a result of additional research to determine future needs of the public, the requirements of new federal legislation for such things as a domestic violence index, and the needs of local and state law enforcement.

The Central Data Repository, with its sTrac, eTrac, iTrac, statistical, and public access modules, remains 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.



ELECTRONIC DOCUMENT HYPERLINKING

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Provide intelligent document linking for judges and public e-filers.
- Construct a secure method for authorized system users to embed links to previous filings held by courts into the text of new filings being submitted.
- Ensure the method also includes support for various use cases that include repositories outside of the central document repository (CDR) at the AOC.
- Provide an index of case documents to all e-filing vendors and for public inquiries.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Implemented an Identity Provider to allow authorized access to court-case-related documents within OnBase and outside of OnBase (via a webservice call) that contains an interface for public users.
- Held numerous meetings with OnBase vendor in attempt to obtain a packaged or vendor-supported solution rather than writing custom software.
- Implemented the new architectural design for in-house services to support the external “DocLink” application programming interface to satisfy the following use cases:
 - create,
 - retrieve,
 - allow,
 - deny, and
 - register.
- Included a message pattern in the coming Administrative Case Event System (ACES) strategic design for accomplishing document linking between filers and

repositories. A Message Translator and Domain Adapter will be used to talk to the remote EDMS which returns the remote document location information.

- Contracted a dedicated security developer to assist the Chief Architect in implementing his design and deploying the AOC Identity Provider and Authorization Server.
- Created an external interface to enable e-filing vendors to become both Identity Providers and Authorization Claim Providers.
- Implemented and demonstrated the prototype DocLink public interface.
- Worked with the Appellate CMS Steering Committee to make changes to the prototype and develop the workflows necessary for the production environment.

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

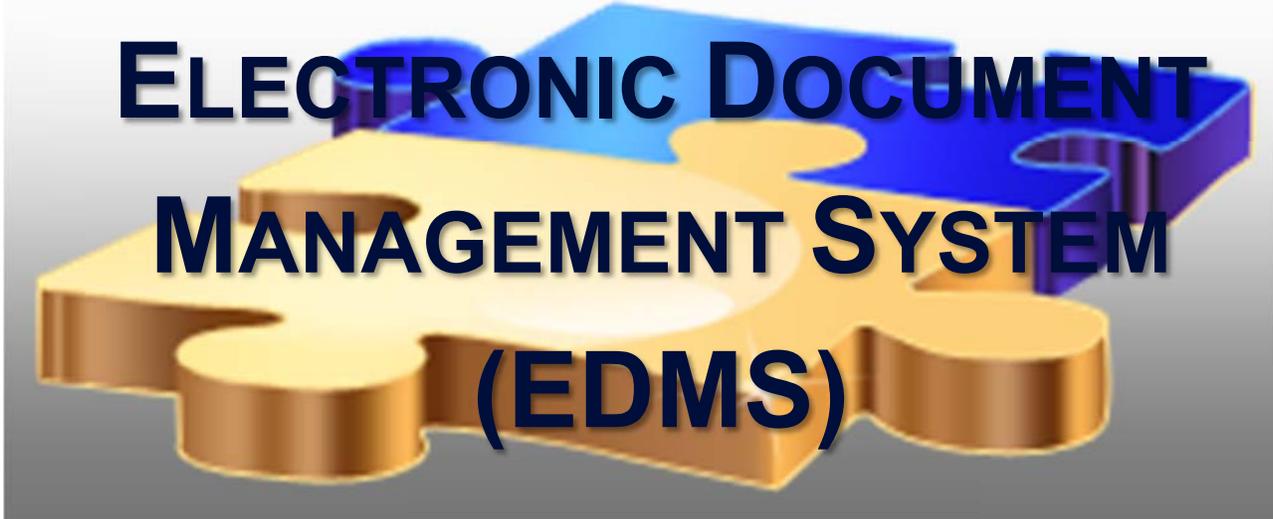
PROJECT DESCRIPTION

Given the rapid rate of electronic case filing adoption in courts around the state, the time is right for enhancing the features of the e-filing system for the end users of the system: the judges and public filers. Having all clerk-accepted filings since July 1, 2010, reside either in the CDR or in local repositories known to the e-filing system, should streamline the process of referring to an earlier filing within a later filing. Appellate judges also surfaced the need to quickly locate references documents and portions of documents as a very high priority now that their work is all electronic.

The need is:

- Judges do not want to wade through scads of previous filings attached to a current filing purely for reference purposes.
- Judges want to quickly see the relevant portion of a cited case or previous filing when needed without performing extensive searching.
- Bar members want access to cited cases previously e-filed and a method to quickly navigate judges to relevant portions of those cases.
- The court has a responsibility to ensure appropriate access to case records that contain security provision by law or court order.

Assuming success, this project will offer a consistent, statewide method for e-filing users to embed hyperlinks to previously filed documents and for judges to successfully follow those hyperlinks to see the intended portions of cases, all in a secure manner.



ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS)

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Assist courts in implementing 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, archiving, and automated removal.
- Support statewide eFiling 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.
- Integrate OnBase with the records retention function in AZTEC and AJACS to automatically remove records from the LJ EDMS once any case has been completed for the period of time that is required by court records retention policy.
- Integrate OnBase with existing, state-standard case management systems (AJACS, AZTEC, Appellamation).
- Implement Document Transfer Module (DTM) with existing OnBase systems to facilitate the CDR in support of e-filing, judge automation, and public access to court records.
- Automate, where possible, the capture of metadata, form data, and document images with a goal of eliminating manual entry of case file information by clerks.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Continued supporting OnBase, the state-standard EDMS, in 14 of 15 Superior Courts and at the AOC.
- Implemented transfer of metadata and document copies with existing OnBase systems in 10 of 13 AJACS Superior Courts. Advised local administrators about ways to increase success rate of scheduled transfers.
- Discontinued the deployment of disconnected scanning to additional limited jurisdiction courts, leaving the statewide total at 61.
- Accomplished detailed set up and CDR document transfer subscription for each LJ court adopting disconnected scanning prior to decision to freeze new deployments.
- Determined that all non-implemented courts will receive document scanning capability in conjunction with their AJACS implementation.
- Planned for, tested, and accomplished upgrade of OnBase systems at AOC to V15.
- Reviewed formal requests from individual courts regarding destruction of paper records where equivalent electronic records exist, pursuant to ACJA § 1-507.

SNAPSHOT				
CLASS		STATUS		RISK
Utility		New	×	High
Enhancement		On-going		Medium
Frontier	×	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 records are rapidly replacing traditional media (paper). Electronic documents are now common in the day-to-day business of the court, relied upon 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, mass storage, 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 the requirements 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 digital images exist and the 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, eFiling, 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 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 business 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. More recently, the chief justice convened a special committee to recommend solutions to problems unique to a completely electronic lifecycle for court case 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 Arizona.

The COT has focused on using vendor solutions 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 and will be revisited as further technology refinements occur.

With so many courts creating digital records and having the ability to share those records 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 provides a second copy of electronically filed court case documents and serves as the gateway/repository for public access to court documents, per Rule 123's 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.

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, 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 delay implementation of e-filing for years. The solution is disconnected scanning: a way to leverage a central system with 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 CDR, and AZTurboCourt to reduce the burden on local courts. Work is underway to modify the process for use with the new LJ AJACS CMS.

As imaging processes matured, Clerks became disillusioned because the initial promise of a reduced workload and storage space were 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.

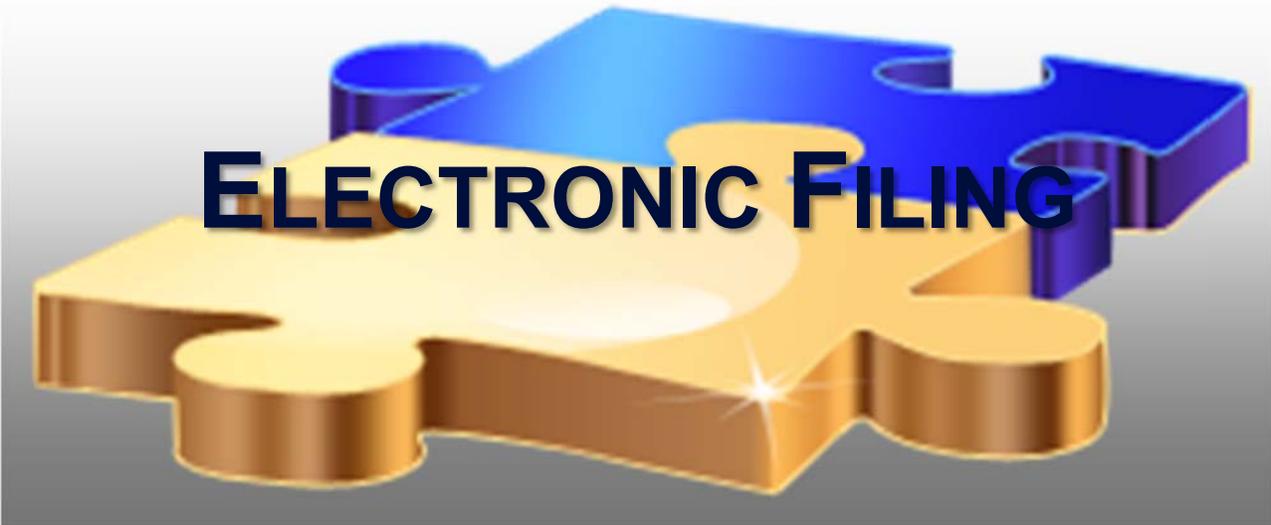
- Establishing electronic document management models for different types of courts.
- Leveraging State support and procurement by identifying a limited product set to be used statewide.
- Identifying potential short-and long-term funding resources to support the project.
- Enhancing the ACAP case management systems (AZTEC & AJACS) to recognize and manage electronic documents.
- Identifying a subscription model for 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 and replacing disconnected scanning.
- Implementing an e-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 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 deliberately, but EDMS is now clearly a “must have” rather than “nice to have” tool.



ELECTRONIC FILING

PROJECT GOALS AND ACCOMPLISHMENTS

AZTurboCourt is the Court's first designated statewide e-filing system. eUniversa is the next-generation statewide e-filing system.

The main components of an electronic filing system include the Filer User Interface (UI), Electronic Filing Manager (EFM), and an optional Clerk Review UI and Judge Review UI. The Judge Review UI is generally associated with case management system (CMS) functionality; however, the AOC has invested in Mentis' aiSmartBench, an automation tool that enables judges and their staff to work with electronic documents maintained by CMSs. The Filer UI enables users to interact with the e-filing system described in this section. The EFM facilitates the exchange of case data and documents between the Filer UI and the destination or "target" clerk review systems and or CMSs. The Clerk UI enables clerks of the court to accept or reject case file submissions. Back-end facilities keep track of registered users and provide appropriate access to filed documents, reviews within the court, and cases available to be viewed by the public.

Once eUniversa becomes fully operational, all future electronic interactions with the Arizona Judiciary will be facilitated through the eUniversa EFM.

PROJECT GOALS

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 the creation and handling of physical paper.
- Demonstrate feasibility of a standards-based user interface by which litigants can submit filings using a common facility.
- Leverage the court-defined data standards in all jurisdictions within and between the e-filing system and target CMSs.

- Speed adoption of statewide e-filing by implementing vendor-developed and supported:
 - Electronic Filing Manager (EFM) capable of supporting
 - Multiple jurisdictions and licensed/owned by the Court,
 - Multiple third-party electronic filing system providers that supply filer support for free-form and forms-based document submissions, and
 - Clerk and judge review systems.

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

- Implement an embedded and fully integrated Clerk Review function for the AJACS CMS that enables clerks to accept or reject case file submissions and transfer the appropriate data to the CMS for subsequent Judge Review.
- Enable court users and/or the CMS itself to initiate and/or provide automated responses to filers through the Clerk Review system.
- Develop XML message exchange standards for use between the Filer UI and Clerk Review UI.

REGISTRATION SYSTEM

- Create a centrally located registration service that supports the Court's enterprise public-facing online applications.
- Provide support for self-represented litigants, attorneys, businesses, and government agencies.

MQ INTEGRATION

- Situate IBM MQ as the message transport and exchange mechanism between the statewide e-filing system, specifically the EFM, the CCI, and target CMSs.
- Route e-filing-related inter-system messages through IBM MQ.

ONLINE PAYMENT PORTAL

- Allow payment of filing and application fees to be made electronically.
- Provide reporting that helps law firms with client billing.
- Deliver a common payment processing service that supports multiple vendor providers of the Filer UI.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Over 242,000 filings were electronically submitted to the Superior and Appellate Courts engaged in e-filing through the year.
- Additional releases of AZTurboCourt expanded its functionality to include:
 - Ability to e-file tax cases into Maricopa Superior Court;
 - Ability for process servers to electronically file into existing e-filing courts;

- Elimination of the need for filers to enter information regarding which party filings are associated with advent of a “participant matching” function.
- Mandatory e-filing for civil cases into Pima Superior Court was achieved May 26, 2015.
- Began the civil case pilot project with the Superior Court in Yavapai County. Identifying and bridging AJACS-GJ support gaps. Ensuring end-to-end functionality is performing as expected. Addressing rules of civil procedure relative to the handling of proposed order and proposed judgment document processing by clerks.

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.

Electronic filing focuses on exchanging case file data and documents, 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 storage support. EDM complements the processes associated with document creation, storage, management, retrieval, and archiving. At present, courts use imaging systems to digitize documents received as 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 documents. Rules and guidelines governing electronic filing continue to evolve while existing paper-centric rules continue to be modified one by one.

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 Electronic Court Filing (ECF), and National Information Exchange Model (NIEM) specifications.

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), portable document format (.pdf), OpenOffice XML (.docx), and OpenDoc Format (.odt) for electronic filing submissions.

The goals of electronic filing are to:

- Increase the operational effectiveness and efficiencies of the Court and criminal justice system;
- Avoid duplicative 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.

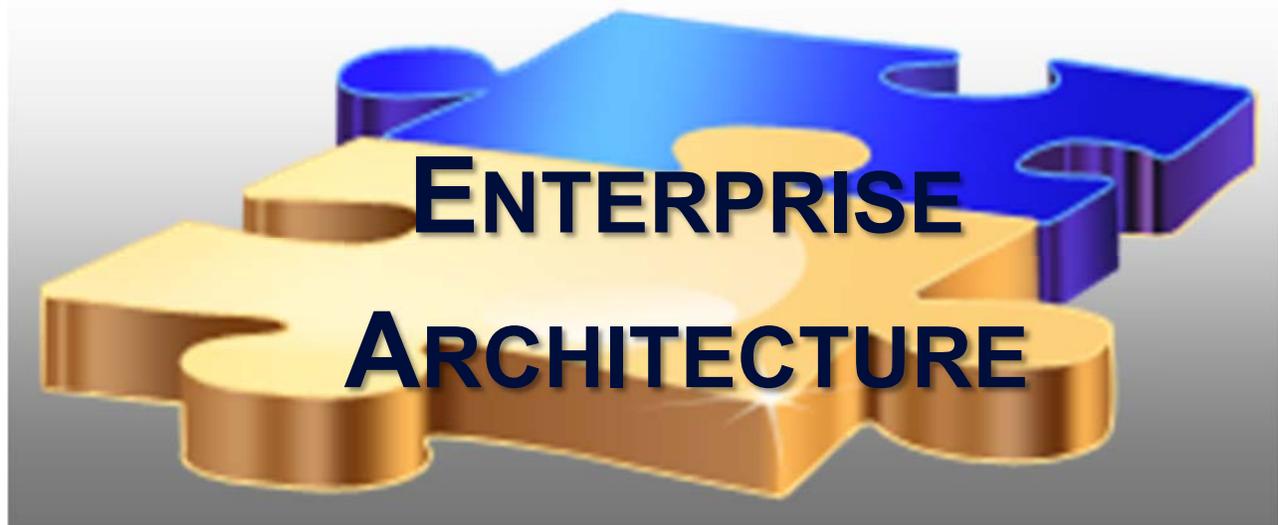
The introduction of digital signature legislation in Arizona paved the way for an environment to support electronic filing of documents. The courts adopted Rule 124 and related technical standards in the Year 2000 to provide for electronic filing. The

Commission on Technology (COT) also approved the standards-based electronic transfer of records on appeal from each Superior Court location to each Appellate Court. COT has since ratified a set of seven general principles to govern eventual e-filing solutions.

The envisioned statewide model for electronic filing responds to several overarching Judicial Branch directives. Inter/intra-court synergy associated with the electronic filing value-chain continues to evolve after years of independent court efforts. The following initiatives have been achieved or are well on their way to completion:

- Completed a statewide electronic document reference model and system implementation in appellate and superior courts.
- Completed the implementation of a development, test, and production message broker, i.e., Enterprise Service Bus.
- Completed and continue to update a common XML message for electronic filing for all court levels and transaction types.
- Completed and maintain 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.
- Continually identifying potential short- and long-term funding resources to support the electronic filing initiative.
- Developing an electronic filing business model that can be deployed throughout the Judicial Branch.
- Continue to convert hardcopy court forms into their online equivalents.
- Continually researching and processing the required changes to paper-based filing-related rules in Arizona courts.
- Continually preparing the courts and the public for a paradigm shift from physical paper filings 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 the various technical tasks, court staff, the legal community, and the public must embrace and are becoming more comfortable with living in an electronic world.



PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

Conduct analysis, design, planning, and implementation of enterprise standards in order to successfully develop and execute the business strategy of the courts.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Updated Team Foundation Server (TFS) source code management system to Version 2015.
- Designed the Administrative Case Event System (ACES) to be used for consolidation of information between systems routed through the AOC. This moves AOC closer to an architected e-government solution.
- Designed an application security standard for single-sign-on and consolidated application security development standards. The new model meets or exceeds the TAC minimum security standards. .
- Designed DocLink, a methodology for introducing permanent bookmarks into legal documents for secure retrieval of related documents.
- Deployed the production system for eFiling using ACES to retrieve case information and documents for Yavapai County, the pilot site. This same process will be extended to other counties in the coming months.
- Applied automated testing standards through the implementation of well-defined unit testing. These unit tests are now part of the build process for ACES and eFiling services and are run as regression tests on every development change.
- Designed a message bridge pattern between ACES and the current IBM WebSphere MQ messaging system. Identified areas that need improvement and designed a subscription model for key messages and began development of an approach to accomplish the improvement starting with NICS.

- Continued training on Domain Driven Development for use in better integrating court information across the organization. Designed training material for the business teams to utilize this approach in both current and new projects.
- Designed the processes and patterns for an Enterprise Core which defines the methodology to replace legacy technologies allowing them to continue *in situ* while the new technology such as ACES overtakes them.
- Developed the model for ACES integration with CCI to enhance the enterprise-wide and reusable components for many key applications. Additional components of ACES were implemented to utilize the CCI.
- Continued mentoring and education of court staff on Domain Driven Development practices and the move towards task-based rather than data-centric enterprise development standards.
- Completed importing all AJACS courts into CCI.
- Worked with Maricopa County to bring needed information into CCI and completed the process in development. Work continues to proceed for testing and production environments.

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

PROJECT DESCRIPTION

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

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

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



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

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

Per Gartner, the strategic goal of enterprise architecture is to position the entity to leverage technology in support of the business strategy and make technology the proactive enabler of an agile, responsive enterprise that can react in real time to changes. Enterprise architecture will provide standardization and elimination of redundancy and complexity across the Arizona Judicial Branch.

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

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

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

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

A graphic of several interlocking 3D puzzle pieces. One piece in the foreground is gold, while the others behind it are blue. The text '2FID ELECTRONIC FINGERPRINT IDENTIFICATION' is overlaid in a bold, dark blue font across the puzzle pieces.

2FID ELECTRONIC FINGERPRINT IDENTIFICATION

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Deploy two-fingerprint identification (2FID) mobile devices in superior court courtrooms around the State.
- Enable the ability to electronically capture a defendant's fingerprint and identify their status during sentencing.
- Establish electronically whether valid fingerprints for a defendant exist in the Automated Fingerprint Identification System (AFIS).
- Automate the current sentencing process by utilizing 2FID mobile devices in Arizona courtrooms.
- Integrate a new statewide system that will allow courts to electronically capture fingerprints.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Created initial deployment schedule for the number of devices that will be implemented into each superior court around the State.
- Began planning the project implementation with Arizona Criminal Justice Commission (ACJC) and DPS.
- Continued to work in partnership with DPS to facilitate cross-agency support and coordination.

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

PROJECT DESCRIPTION

The two-fingerprint identification project will enable electronic confirmation of the identity of a defendant in the courtroom and alert the court at sentencing when a defendant must be sent for ten-print fingerprinting at a booking facility, based on the originating charges at the time of arrest.

Currently, sentencing order fingerprints are captured manually by courtroom clerks or bailiffs using the “ink and roll” method. The 2FID mobile device ensures electronically valid fingerprints exist in the Automated Fingerprint Identification System (AFIS). Implementing 2FID mobile devices in Arizona courtrooms will improve usability of the fingerprints that were captured in the courtroom, the efficiency of the capture process, and the completeness of the criminal history record.

The two-fingerprint capture determines whether an AFIS Record Number (ARN) exists for the defendant. A positive result indicates to the court that the defendant’s fingerprints have already been taken. A result of “no ARN hit,” indicates to the court that the defendant must be sent for ten-print fingerprinting at a booking facility on the originating arrest charges.

The project’s value is to:

- Improve criminal history record processing by ensuring that the ten-print fingerprinting process has occurred.
- Confirm positive defendant identification during sentencing.

Once completed, this project will standardize, statewide fingerprint processes for all courts, end to end, in a consistent manner throughout the entire State.



INFRASTRUCTURE MAINTENANCE

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS FOR FY2017

- Continue to expand existing system monitoring capabilities into all application environments to enable nearly immediate notification of application error conditions.
- Replace end-of-life Wide Area Application Services (WAAS) units located throughout the state to remain within vendor support and preclude purchase of expensive or non-existent bandwidth to address the ever-increasing communication needs of the courts over time.
- Continue consolidating legacy server platforms in the AOC Data Center onto Windows-based technology. Continue equipment refreshes and consolidation of older Windows-based hardware environments.
- Continue the multiyear project of upgrading all Windows SQL database (DB) environments to SQL 2012. Migrating DB environments to SQL 2012 will improve system availability during application rollouts.
- Continue upgrading all legacy Microsoft O/S environments to Windows 2012 SP1.
- Complete the Windows 10 operating system deployment to all AOC-supported PCs and laptop systems around the state.
- Implement a repeatable, periodic, upgrade process using Microsoft SCCM for Microsoft Office 365 beginning with the 2016 upgrade.
- Upgrade and migrate the current Microsoft Exchange 2007 e-mail environment to Exchange 2016 based in the cloud, on premises, or a hybrid of both.
- Upgrade Microsoft Office 2010 to Office 2016.
- Continue to 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 to ensure ongoing reliability and increased security functionality.
 - Upgrading network infrastructure for client desktop support requirements, continued expansion of video conferencing, and meeting application growth/bandwidth demands.
 - As requirements demand, and with vendor availability, continue migrating circuits onto QMOE and microwave technology. This will improve circuit bandwidth while further reducing cost.
 - Replace end-of-life (EOL) Cisco core switches in Mohave, Yuma, Gila, Santa Cruz, and Pinal Superior Courts.
 - Upgrade the AOC SAN switches to provide additional reliability, data throughput and vendor support.
 - Continue to implement wireless access points in all Superior Courts in the State. Replace the AOC internal ASA Internet-facing firewalls to provide additional data throughput and security.
- 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.
- Complete implementation of the new Tivoli Backup environment that will replace the current EMC backup technology.
- Deploy all project-related infrastructure required for the support of
 - eUniversa project deployment,
 - the continued AJACS LJ CMS rollout,
 - eBench project deployment,
 - eAccess project deployment, and
 - eWarrant pilot project deployment.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Continued to upgrade and expand virtual server technology into additional production, test, and development environments throughout the year. Migrated all VM environments to the HP 3Par SAN for enhanced performance and disk management. Migrated all VM client environments to 3 distinct clusters segregated for Development, Test and Production computing environments.
- Constructed the network and computing infrastructure to support relocation of the AOC DES Data Center. Successfully relocated all AOC computer equipment and applications located at the DES Data Center to a new offsite location.
- Migrated all application environments from the legacy T700 IBM SAN environment to the HP 3Par SAN then decommissioned all T700 SAN equipment.

- Implemented the Tivoli Backup infrastructure and software in support of the migration of the AOC backup strategy from EMC to Tivoli. Migrated all EMC SQL Database and Informix Database backups from the EMC environment to Tivoli. Remaining file system backups will be completed in FY17.
- Upgraded the AZTEC application environments to AIX 7.1 and Informix 11.5, keeping them in supported by the vendor through the full AJACS LJ rollout.
- Upgraded the Data Warehouse system environment to AIX 7.1 and Informix SPF 8.5 to enable continued IBM support while the applications are migrated to a Windows-based platform.
- Upgraded the Appellamtion system environment to AIX 7.5 and Informix 11.5, keeping them within IBM maintenance support.
- Upgraded the Supreme Court VOIP phone system, both hardware and software, keeping it in vendor maintenance support.
- Continued enhancements to the AJIN network infrastructure, including:
 - Completing the deployment of dynamic port security within the AOC to provide additional security for the AJIN network.
 - Building out the network infrastructure in support of the DES computing environment relocation.
 - Upgrading the bandwidth and performance in 5 superior courts, 4 probation locations, 7 justice courts and 6 municipal courts by upgrading their circuits to either QMOE or microwave technology.
 - Upgrading the LMS (Cisco Enterprise Manager) and Cisco Security Manager, providing more efficient means of managing the AJIN Network.
 - Completing network port security implementation across the state to enable better network management and security.
 - Upgrading Cisco AnyConnect with “Posture Intelligence” to provide greater depth in security analysis of all incoming VPN connections.
 - Installing a new intrusion prevention/detection management system within the AJIN network infrastructure.
- Continued a multi-year project of migrating all AOC SQL database environments to SQL 2012. This will improve system availability during application rollouts.
- Integrated Intel VPRO technology into SCCM and rolled out the VPRO management tool to all client desktops.
- Completed numerous network and phone modifications in support of staff relocations.
- Assisted various individual courts with server moves and network upgrades.
- Worked with various project teams to roll out/upgrade and support
 - APETS production enhancements,
 - JOLTSaz product upgrades and county rollouts,
 - AZYAS production software release,
 - Quality Center product upgrade,
 - TFS production upgrade,
 - Jury Plus application upgrade,

- AJACS GJ and LJ releases,
- NICS production software releases,
- Datamart and Appellation applications O/S and database upgrades.

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, through various projects, to upgrade servers and operating systems, database engines, network equipment, and add communication 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 and increasing capacity to remote locations, continuing to use Cisco’s Wide Area Application Services (WAAS), continuing expansion onto QMOE and microwave technology giving the AOC greater bandwidth and more flexibility to grow the AJIN network, as well as enhancing anti-virus and malware protection to all computing systems residing on AJIN. 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) are 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, firmware updates and tools are deployed at each location on the AJIN network. An automated system patch management process has been put into place for all AOC-supported servers and devices, along with weekly full antivirus scans, to further secure 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. The devices and tools are constantly being upgraded as part of infrastructure maintenance efforts.

Network security audits are performed by external third parties to ensure that security measures remain effective. One such audit was successfully completed this last fiscal year. The results of these audits are analyzed and enhancements are made when necessary, ensuring the continued integrity of the AJIN network. Another such audit is planned for CY18.

Minimum policies to govern security system management across all courts connecting to AJIN have been approved by governance bodies. The key to a successful implementation is communication of the baseline standards with the various technical groups throughout the state, including the county CIOs.

The AOC standard for remote access continues to be Virtual Private Networking (VPN) via Cisco AnyConnect. This technology allows automatic client installation on first connection and gives access based on rule sets for an individual's group policy. All older, extranet clients used by AOC staff to gain access to AJIN have now been replaced.

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. With the growing reliance on the AOC for retention of electronic data and documents, and the continual growth of AOC statewide applications, the need and importance of disaster recovery for the AOC computing environment continues to be re-evaluated for a cost effective solution.



INTERNET PUBLIC INTERACTIVE SERVICE STANDARDIZED COURT FORMS

PROJECT GOALS AND ACCOMPLISHMENTS

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 to:

- 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.
- Develop a central document repository as the source for public/party inquiry of court documents.
- Provide marketing support to educate the public about the functionality and convenience of the new electronic access capabilities.
- Provide access through a variety of means to allow litigants from varied backgrounds access to the courts.

PROJECT GOALS

- 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 and Justice Courts.
- Deliver self-service forms to the public via AZTurboCourt, based on court rule or statute.
- Sustain the support efforts for the statewide AZTurboCourt electronic filing initiative.
- Establish resources for access to forms for those individuals who are Limited English Proficient (LEP).

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- The initial pilot which turned the small claims intelligent forms application into a full e-filing application uncovered issues that made it problematic for courts to process the forms effectively. After requirements were delivered FY15, development activities were placed on hold pending delivery of predecessors which support party matching.
- Use of the dissolution intelligent forms application continued in Coconino County with both the complaint and answer pathways. A decree pathway was developed and deployed during FY16. Work is underway to gather necessary information to deploy the application to other counties in the state.
- A Spanish website called *El Centro de Autoservicio* was further expanded to increase the number of forms and instructions available in Spanish for court users.

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

PROJECT DESCRIPTION

AUTOMATED INTELLIGENT FORMS

Goal 1-B of *Advancing Justice Together* seeks to expand access to web-based forms for self-represented litigants. This technology initiative represents an overarching vision to provide Court automation solutions to the public and government agencies via a common Web portal. AZTurboCourt e-Filing is the closely related 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.

JOLTSaz NEXT GENERATION JUVENILE ONLINE TRACKING

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Roll out JOLTSaz to the remaining rural counties. The rollout across all rural counties is scheduled to be complete by June 2017.
- Modify JOLTS Data Extract as each county transitions from JOLTS to JOLTSaz to ensure that all juvenile data from JOLTS and JOLTSaz continues to flow to AOC's Data Warehouse.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- JOLTSaz was implemented July 2015 in Yuma County, followed by La Paz County in December 2015, Santa Cruz County in April 2016, and Cochise County in June 2016.
- In addition to the rollout, JTX financial functionality for Maricopa, Pima, and the rural counties statewide was built in JOLTSaz and historical JTX data was converted successfully in February 2016. The old legacy system, which resides on an AS/400 platform, can now be shut down.

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



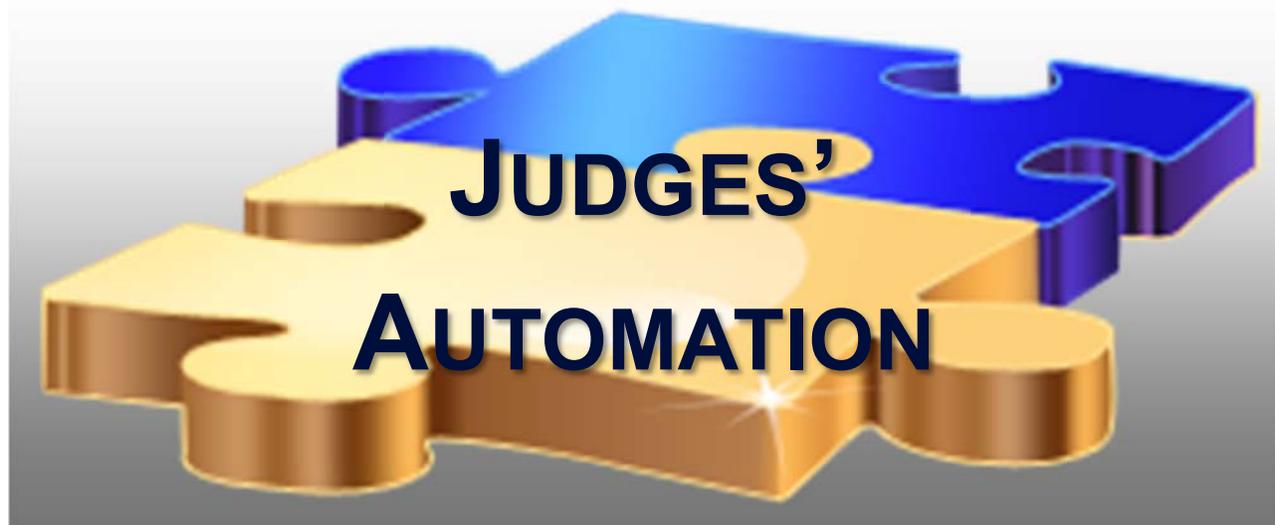
PROJECT DESCRIPTION

JOLTSaz, the next-generation juvenile probation tracking application, is being written using Microsoft's Visual Basic.NET, an object-oriented computer programming language. Microsoft's SQL Server platform provides a relational database solution that is what the organization needs to lower its cost of ownership, manage all volumes of data from creation to archival, and provide mission-critical functionality and reliability compared to the AS/400 platform that Legacy JOLTS currently resides on.

A single, statewide database will be housed at AOC that allows documents to be centrally stored/maintained and information to be more easily shared among the state's juvenile courts and other state agencies once the rollout is complete in all counties.

Microsoft's SSRS will be used in the new system for reporting requirements and SSIS will be used for data conversion from the Legacy JOLTS system to JOLTSaz.

The first data conversion from JOLTS and implementation of JOLTSaz occurred in Pima County in June 2013. The statewide version of the application was later implemented in Pima County in January 2015, prior to the rollout to the rural counties.



PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Streamline and standardize a set of judicial workflows and related business tools and 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, for limited jurisdiction court judges and enable interfaces with other case management systems in the state.
- Eliminate the need for paper files and manual processing, long term, by providing judges the ability to manage their cases electronically from start to finish.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Concluded collaboration and partnership 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. The result of these collaborations and partnerships, the case worksheet, is incorporated into the AJACS application.
- Pima County Superior Court expanded eBench in additional court divisions.
- AOC staff trained judges and staff then implemented eBench in Yavapai County Superior Court.
- AOC staff began work to implement eBench in Mohave County Superior Court.
- Plans were made to implement eBench in all remaining Superior Courts using the AJACS CMS

SNAPSHOT					
CLASS		STATUS		RISK	
Utility		New	×	High	
Enhancement	×	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 provide a solution for the judges which will streamline judicial workflows and business processes so judges can be efficient and productive in an all-digital environment on the bench or in chambers.

In mid-2009, judges from various courts and jurisdictions initially met and then traveled to Colorado where they observed a judges' automation software product developed by the Colorado State Judiciary. The pros and cons of Colorado's system and the current application were discussed and shared with the project's assigned systems analyst in early 2010. The best features are being incorporated into the automation effort.

Automation geared specifically towards the needs of limited jurisdiction court 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. These development efforts and the resulting automation tool will virtually eliminate the need for paper files and manual processing, thus providing judges electronic case management.

While the AOC has begun efforts towards designing and building a streamlined and standardized set of judicial workflows and business processes, additional work is still required before finalization.

Collaborative efforts are underway with remaining LJ AJACS development both for AZTEC replacement and Large Volume LJ court requirements that will bring this automation effort closer to reaching its goals. Additional development efforts to support e-filing operations are constructing initial clerk review functionality and improving the document management capabilities in the AJACS application.

Following a competitive procurement process in 2013, AOC awarded a contract to procure a judicial decision support system designed to reduce the courts' reliance on paper. The intent is to implement the selected system in phases beginning in Pima Superior Court, to be followed by the rural superior courts and appellate courts. Additional



LJ courts may be implemented in later phases. The selected vendor will provide a system that eliminates the courts' reliance on paper and allows for real-time updating and viewing, eliminating the need for courts to print, sign-by-hand, ink stamp, photocopy, courier, fax, post, file, locate, and manually distribute all documentation relative to cases handled by each judge.

A graphic of several interlocking 3D puzzle pieces. The pieces are rendered in a golden-yellow color with a metallic sheen and blue highlights. They are arranged in a cluster, with some pieces overlapping others. The text 'LIMITED JURISDICTION CASE MANAGEMENT SYSTEM' is overlaid on the puzzle pieces in a large, bold, blue, sans-serif font.

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 2016

- Continued to set up and or modify LJ AJACS-required system configuration including all table codes and system parameters, as necessary.
- Continued efforts to design, develop, and modify LJ AJACS system forms, as necessary, and as brought up by production courts. Provided standardized forms to LJ Steering Committee for review and approval.
- Continued efforts to design, develop, and modify LJ AJACS system reports, as necessary and as requested by production courts. Continued creation of test scripts and functional testing of LJ AJACS, specifically in conjunction with new, major releases or product functionality.
- Continued working closely with Tucson City Court to assist them with the initial system configuration, table code setup, and architectural environment that are required to operate the LJ AJACS application in a standalone/self-supported environment.
- Completed analysis of all possible alternative delivery, training, and implementation methodologies for replacing AZTEC in all courts statewide.
- Training documentation and videos continue to be updated and modified, as necessary.
- Successfully implemented LJ AJACS in 5 of 6 Pima County Courts. Marana Municipal Court opted to implement at a later date and was scheduled for February 2017.
- Began working with all Pinal County ACAP LJ courts to begin preparations for LJ AJACS implementation. All Pinal County ACAP LJ courts are scheduled to complete their LJ AJACS implementations prior to end of calendar year 2016.

SNAPSHOT					
CLASS		STATUS		RISK	
Utility		New		High	
Enhancement	X	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.



NICS REPORTING

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Design, develop, and implement a data repository in support of the NICS Task Force, a governance body composed of representatives of Arizona's criminal justice agencies.
- Provide an automated data feed from the AOC through DPS to NICS for the State of Arizona to replace the current manual, paper process with a data feed from CCI.
- Define and document standard data mapping from CCI for:
 - AJACS data,
 - Maricopa data, and
 - Pima data.
- Continue to develop functional requirements associated with any remaining NICS categories for:
 - AJACS data,
 - Maricopa data, and
 - Pima data.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- In support of SB 1373, began passing case information that originates in the AOC NICS Repository to the Arizona Department of Public Safety.
- SB 1373 requires the Arizona Department of Public Safety to provide the case information it receives from the Supreme Court associated with the types of cases listed below to a law enforcement agency for the purpose of enforcing a court order, assisting in an investigation, or returning property:
 - Persons found to be incompetent or subsequently competent or guilty except insane;
 - Orders for mental health treatment; and
 - Orders relating to mental incapacity.

- AOC and DPS continue to define requirements for reporting records that qualify under NICS Category One. This data exchange to NICS focuses on cases where the defendant has been found guilty of one or more felony charges. Specifically, reporting under NICS Category One includes records that identify a person who has been convicted in any court of a crime punishable by imprisonment for a term exceeding one year (e.g., state “felonies”) and of any state misdemeanor punishable by imprisonment for more than two years.
- AOC continues development work of the Central Case Index (CCI) to support providing case information from each superior court’s case management system to the AOC’s NICS Repository. Currently, only contingency feeds from each superior court’s case management system are available.

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

PROJECT DESCRIPTION

The National Instant Criminal Background Check System (NICS) is a national system that checks available records on persons who may be disqualified from receiving firearms. The NICS is a computerized background check system designed to respond within 30 seconds on most background check inquiries so that federal firearms license holders receive an almost immediate response¹.

The U.S. Department of Justice (DOJ) Bureau of Justice Statistics (BJS) awarded the Arizona Criminal Justice Commission (ACJC) funding for federal fiscal years 2011 and 2012 for the development of the Arizona NICS Records Improvement Program (NARIP).² In 2012, ACJC formally established a NICS Task Force. The Task Force is made up of representatives from Arizona’s local, county, and state criminal justice agencies. The goal of this task force is to identify and develop solutions for NICS reporting issues.

Below are the 7 NICS categories that prevent transfer of a firearm:

Category 1 Felony convictions: records that identify a person who has been convicted in any court of a crime punishable by imprisonment for a term exceeding one year (e.g., state ‘felonies’) and of any state misdemeanors punishable by imprisonment for more than two years.

¹ See <http://www.fbi.gov/about-us/cjis/nics/general-information/fact-sheet>

² See http://www.azcjc.gov/ACJC.Web/Pubs/Home/AZ_NARIP%20Plan%2020130328%20FINAL.pdf

Category 2 Active indictments/informations/verified complaints: records that identify a person who is under an indictment or information returned or filed with a court, or a criminal complaint issued or verified by a prosecutor, for the crimes described in Category 1.

Category 3 Active wants/warrants: records that identify a person who is a fugitive from justice, as demonstrated by an active felony or misdemeanor want or warrant.

Category 4 Unlawful drug use records: records that identify a person who is an unlawful user of or addicted to any controlled substance, as demonstrated by specified arrests, convictions, and adjudications, not protected from disclosure to the Attorney General by federal or state law.

Category 5 Mental health adjudications or commitments: records not protected from disclosure to the Attorney General by federal or state law that identify persons who have been adjudicated mentally defective, meaning that a court, board, commission or other lawful authority has determined that the person, as a result of marked subnormal intelligence or mental illness, incompetency, condition or disease, (a) is a danger to himself or others or (b) lacks the mental capacity to contract or manage his own affairs. This category also includes records not protected from disclosure to the Attorney General by federal or state law of persons found incompetent to stand trial or found insane by a court in a criminal case, and records not protected from disclosure to the Attorney General by federal or state law that identify persons who have been formally and involuntarily committed to a mental institution. This category of records does not include persons committed to a mental institution voluntarily or merely for observation or evaluation.

Category 6 Protection or restraining orders: records that are electronically available and identify a person subject to an active court order (from criminal or civil court) which restrains a person from committing acts of violence against another person. Both temporary and permanent protection and restraining orders are included.

Category 7 Convictions for potential misdemeanor crimes of domestic violence (MCDV): records that are electronically available and that may identify a person convicted of misdemeanor offenses such as battery, assault, disorderly conduct, breach of peace, family violence/domestic violence, family assault or battery/domestic assault or battery, stalking, harassment, etc.

The goal of the NICS Task Force is to report all 7 NICS Categories in order to prevent transfer of a firearm. Using funding from Bureau of Justice Statistics (BJS) awarded to the AOC, the initial focus of the project was to report Category 5, Mental Health Event, associated transactions to NICS. This has been accomplished, replacing the following manual processes:

- Maricopa Superior Court currently sends an email with a link to each order. DPS opens the document, prints it, obtains the DOB/SSN info from one of

Maricopa's clerks (via a separate e-mail), and then enters the individual into NICS manually.

- Pima Superior Court currently sends paper copies to DPS. They send a minute entry of the actual order and then, several days later, they send an 'in chambers' order which contains the individual's DOB/SSN via US Mail. DPS enters the individual into NICS once all information is gathered.
- All other counties currently fax and mail information to DPS.

Developing a solution to automate a manual paper process to an automated data feed for reporting to NICS will have high public safety value to the citizens of the State of Arizona.



PENALTY ENFORCEMENT PROGRAM & FARE

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Establish a centralized, uniform collections system to enforce monetary court orders.
- Modify automation systems to share new and modified case and payment information with a competitively selected collections vendor.
- Modify automation systems to accept and process electronic payment transactions.
- Implement the enforcement provisions provided for vehicle registration holds under the Department of Motor Vehicles' Traffic Ticket Enforcement Assistance Program (TTEAP) (A.R.S. §28-1631).
- Modify automation systems to provide near-real-time TTEAP transaction processing to the Motor Vehicle Division (MVD).
- Expand the implementation of the Arizona Department of Revenue's (DOR's) Tax Intercept program within the Arizona Judiciary.
- Provide new services to courts to include:
 - a competitive collections model;
 - new reporting capabilities;
 - online citation payment on pre-disposition cases;
 - a delinquency case processing call center, to include payment plans;
 - a mobile payment app; and
 - a visual enhancement of the payment website.
- Identify the program's successes and shortcomings by working with the vendor and courts.
- Develop and deliver detailed functional requirements for the migration of the FARE application to a SQL environment and progress to an RFP for accomplishing the work.

- Increase backlog collections by modifying FARE delinquency case processing to include enforcing different collection actions based on case age, re-skip tracing dormant FARE case addresses, resending collection letters, and enhancing the competitive collections model.
- Implement FARE backlog and automatic TIP (Auto-TIP) functionality in all LJ AJACS courts.
- Identify and implement new collection techniques to increase collections and program efficiencies.
- Develop and implement online citation payment services in the AJACS CMS for limited jurisdiction courts.
- Implement FARE backlog collections in the Superior Court in Pima County, the Pima County Consolidated Justice Court, and the Mesa Municipal Court.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

From inception to July 2016, overall FARE Program collections have resulted in the recovery of \$567.3 million in outstanding victim restitution and debt disbursed to statutory funds at the local, county and state levels. Other notable facts outlining the overall success of FARE include:

- \$118.5 million in payments made via the FARE website and IVR line
- 818,323 TTEAP registration holds
- 502,072 TTEAP registration releases (61% release rate)
- FARE Program collections totaled \$61.6 million in FY16, an increase of 2.5% over FY15. The total FY16 collected amount breaks down as follows:
 - FARE Backlog (Delinquency) Collections: \$46.6 million
 - Debt Setoff Collections: \$15 million
- Arizona courts submitted 136,323 new backlog cases worth \$107.2 million to the FARE Program in FY16.
- Implemented the Compliance and Revenue Enhancement (CARE) Program, a differentiated case management initiative, which modified FARE collection case processing by applying different enforcement techniques based on case age.
- Provided development support and FARE business and technical processing consultation to three high volume courts: the Arizona Superior Court in Pima County, Pima County Consolidated Justice Court, and Mesa Municipal Court.
- Provided implementation and production support for eight limited jurisdiction AJACS case management system conversions.
- Implemented the automated tax intercept referral process in the Arizona Superior Court in Maricopa County.
- Implemented electronic fund transfers for FARE vendor invoice payments.

SNAPSHOT					
CLASS		STATUS		RISK	
Utility		New		High	
Enhancement	X	On-going	X	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 evolved into the Fines, Fees and Restitution Enforcement (FARE) Program which was the automation project directed at centralizing and automating such enforcement. The program provides civil, parking, and criminal case data to a vendor for collection account processing. The data shared with the vendor includes pre-disposition, post-disposition, and delinquency collections.

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

Administrative Order (AO) 2003-126 established the Penalty Enforcement Program and provided the framework for FARE, including the mission, goals, and scope of the project. AO 2009-29 codified the FARE collections program in the Arizona Code of Judicial Administration (ACJA) as § 5-205: Collections.

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, the total achieved has been well above the projected rate of return. 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 traffic sanctions to be paid in full 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 State and Local Solutions, Inc. (ACS), with headquarters in Washington, D.C., was selected following a competitive process. ACS was 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 (now Xerox) to provide collection and payment-related services for the courts of Arizona. The FARE Program was created through this partnership between the judicial branch and Xerox. FARE incorporates Phases III and IV of PEP and provides local courts with a suite of services including, but not limited to, the following:

- Noticing
- Credit bureau reporting (no longer utilized)
- Web and telephone-based credit card payments
- Referral to the Traffic Ticket Enforcement Assistance Program (TTEAP)
- Electronic address and phone number skip tracing
- Case record data enhancement
- Outbound calling

The program successfully reached the 10-year mark in 2013. Following a competitive procurement in 2012, a new FARE contract was awarded to Xerox for five years with an option to renew for an additional five years. To enhance the program, new services were identified and incorporated into the new contract. The new services included a competitive collections model, a collections call center, payment plans, online citation payment, a mobile payment app, a visual enhancement to the existing website, and sophisticated reporting capabilities.

The FARE Program provides person search services, "skip tracing," free of charge to participating courts. Prior to 2016, Accurint and Masterfiles were the procured vendors for these services. In 2015, the AOC issued a request for quote and selected TransUnion Risk and Alternative Data Solutions, Inc. as the new service provider. The new service was implemented in June 2016 and offers Arizona courts more comprehensive search capabilities while being very cost effective.

In 2016, the credit bureau reporting service was eliminated from FARE delinquency case processing as the result of a settlement agreement between the New York Attorney General's Office and the major credit reporting agencies (CRAs). The agreement related to consumer credit reporting practices; specifically, accuracy of consumer credit information, consumer disputes of inaccuracies, and the reporting of medical debt. As a result of the Settlement Agreement requirements and associated initiatives, the CRAs modified their business practices to only accept consumer debt (credit-based transactions) that arise from a contract or agreement to pay by the consumer. This modification eliminated non-credit transaction debt, which specifically includes court fines, fees, parking tickets, traffic tickets, and local ordinance violations as "unacceptable data."



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."
- 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.
- Complete standardization of all A.R.S. codes within AJACS to allow for a single master statute table to be utilized by any project or non-AJACS court (i.e., Probation Automation, Pima County Superior Court, etc.). Utilize a workgroup made up of representatives from prosecutors' offices, law enforcement, and the Arizona Criminal Justice Commission to initiate this effort.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- 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. Thirty-two new event codes were approved and added to all AJACS GJ databases.

- The Limited Jurisdiction Standardization Workgroup continued working through coding issues in preparation for AJACS implementation in LJ courts, paying particular attention to lessons learned from the GJ effort. One hundred thirty-one new event codes were approved and added to the master AJACS LJ database.
- 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.
- LJ and GJ CMS teams, along with other IT projects, CSD, and court personnel continue working towards the complete standardization of all A.R.S. codes within AJACS.
- 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.
- The GJ CMS Team and the Data Standards Lead are in the midst of working 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.
- The second update to the State Wide Violation Code Table was completed in May 2016 and provided to the Standard Violation Code Workgroup for approval.

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 remains 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. A focus group's business requirements were delivered in the 3.6 release of AJACS and have now been deployed to all 13 courts, OPDJ, and the AVT master. Ongoing meetings of the Calendaring/Scheduling Focus Group are keeping the functionality in step with the evolving needs of the courts.

To address the problem of non-standard A.R.S. violation codes in use across the state, a workgroup was established to develop and deploy a master charge table for all case management systems used by the charging agencies. The workgroup is made up of 2 judges, 2 prosecutors, and 2 representatives each from ACJC and MVD. The most important titles were completed and ready for use in October 2014. These include A.R.S. Titles 3, 4, 5, 10, 11, 12, 13, and 28. The table is updated annually or more frequently, as needed.



PUBLIC ACCESS TO CASE DATA & DOCUMENTS

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Develop and implement a Public Access Strategic Roadmap that accommodates a new architecture, platform, and analysis.
- Identify business and external users' needs as well as methods for dissemination of information including court case data, documents, and bulk data downloads.
- Create specifications for interfacing non-standard CMSs to the Central Case Index (CCI) and for local EDMSs to contribute to the Central Document Repository (CDR).
- Enhance and support the CDR and CCI needed to facilitate access to case data and documents by the public and interested government agencies.
- Migrate the Victim Notification application to a supported platform and enhance it to include all courts available in Public Access.
- Enable the public to obtain copies of publically releasable court documents, in accordance with Supreme Court Rule 123 and ACJA 1-604.
- Develop the CDR as the source for inquiry of court documents. Assess fees for document retrieval using an eCommerce platform.
- Obtain local court CMS data, document metadata, and document copies or pointers necessary to support all public-facing online services.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Continued work on the structure and population of the CCI and CDR that will drive the future public access site.
- Began development work to support Rule 123 relating to the types of court documents that can be made public by remote electronic access.

- Continued testing of site functionality as new releases were received from the vendor.

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.

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

ACJA 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.

Following evaluation of proposals to provide remote access to court documents and bulk data using an eCommerce system to provide timely fulfillment of requests for court documents, subscriptions for bulk data, and creation of customized queries/data reports, a contract was awarded to Granicus. 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 Granicus will request and retrieve court documents and case information on behalf of individuals and commercial entities, in accordance with Rule 123.

Work continues on populating the CDR and constructing managed services as necessary to facilitate remote access to case data and documents.

A graphic of several interlocking 3D puzzle pieces in blue and gold colors, arranged in a cluster. The text 'STATEWIDE ELECTRONIC WARRANT SYSTEM' is overlaid on the pieces in a bold, dark blue font.

STATEWIDE ELECTRONIC WARRANT SYSTEM

PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- The eWarrant proof of concept (POC) will offer consistent, statewide arrest warrant processes for all other Arizona jurisdictions to adopt.
- Establish a single statewide arrest warrant repository (for all arrest warrant types) or entry point to enable all criminal justice stakeholders to access all warrants in a variety of formats and customizable views.
- Enable paperless warrants, moving warrant processing into the digital age.
- Automate the processes of initiation, recall, and execution of warrants at critical junctures in the justice system, such as when a person is arrested, booked, scheduled to appear in court, admitted to the jail or prison, or appears at scheduled probation meetings.
- Integrate new statewide warrant system with the NCIC Wanted Person File so that any amendments, corrections, or changes made in one system will also be updated in other relevant systems.
- Conduct a proof-of-concept effort in Northern Arizona, specifically between Flagstaff Municipal Court and Coconino County Sheriff's Office.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Completed functional requirements for the proof of concept with Flagstaff Municipal Court and Coconino County Sheriff's Office.
- Completed functional design documents for the proof of concept to demonstrate the system will have the ability to:
 - create workflows that meet business expectations;
 - create user interfaces that meet data requirements;
 - export arrest warrant in standardized format to PDF;

- allow credentialed users to easily access system;
 - enforce data requirements and rules;
 - enable users to review work queues, complete work, and forward to next workflow task;
 - interface with DPS ACJIS and transmit arrest warrants; and
 - pack the warrant with additional information.
- Completed the infrastructure design for the proof of concept.
 - Completed construction of the proof-of-concept system.
 - Continued to foster support and gathered information for the project through cross-agency/-jurisdictional focus groups and presentations to various agencies and committees such as the COT Technical Advisory Council, Disposition Workgroup, the ACJC Technical Committee, and the ACJC Policy Committee.
 - Continued to work in partnership with DPS and ACJC to facilitate cross-agency support and coordination.
 - Completed a proof-of-concept pilot that started in March 2016 and ended in June 2016.
 - Learned that the pilot technical solution, Microsoft Dynamics Customer Relationship Management (CRM), was able to successfully process all work flows defined for the project.
 - Determined the high licensing cost of the CRM solution makes it not financially feasible to move forward with CRM as a technical solution for a statewide warrant system.
 - Began planning for building a custom, in-house technical solution.

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

PROJECT DESCRIPTION

Justice practitioners in both law enforcement and the courts are forced to use multiple systems to manually process, comprehend, and act on arrest warrant information. Even then, after all this information has been reviewed, it is still necessary to contact the originating local court agencies to confirm if arrest warrants are actually still active.

Time studies indicate that as many as 500,000 person hours are spent every year creating, maintaining, and serving warrants.

Arrest warrants provide the legal authority under which law enforcement can arrest and detain an individual. They are initiated only after probable cause has been established that a crime has been committed and that the subject should stand trial on the allegation(s). As of May 23, 2014, there were 334,764 arrest warrants active and outstanding in Arizona. The majority of these warrants were created in response to one of the scenarios below:

- *Grand Jury Indictment:* When a grand jury establishes probable cause and returns an indictment against an individual, the prosecutor can request that a summons, an arrest warrant, or a Notice of Supervening Indictment (NSI) be issued. The NSI is issued if the defendant is currently in custody. A summons is issued if the prosecutor has a high degree of confidence regarding the current location of the defendant. An arrest warrant will be used if the defendant either did not respond to the summons or if the prosecutor is not aware of their current location.
- *Law Enforcement Investigation:* When law enforcement gathers sufficient evidence to prove probable cause to a judicial officer, an arrest warrant or summons can be issued for arrest.
- *Failure to Appear/Failure to Pay:* If a subject fails to appear at a scheduled criminal court hearing or fails to comply with the terms of their judgment (i.e., fees and fines), the court can order the issuance of an arrest warrant on its own motion.
- *Violation of Probation/Parole:* When a probation/parole officer believes that the supervised offender has violated the terms of their probation or parole, he or she can request an arrest warrant from the court.

Given today's environment and the need to improve existing arrest warrant processes and procedures, the purpose of the eWarrant proof-of-concept effort is to bring the state forward using automated processes to manage its arrest warrants.

Assuming success, this proof of concept will offer consistent, statewide arrest warrant processes for all other Arizona jurisdictions to adopt. The Arizona eWarrants Project will then fully automate existing warrant processes from end to end in a consistent manner throughout the entire State.



PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Develop and deploy time standards reports using MS SSRS from the AJACS CMS to assist Superior Courts in managing caseloads relative to the published time standards for Civil, Felony, Post-Conviction Relief, Family Law Dissolution, Family Law Post-Judgment Motions, Probate Administration of Estates, Probate Guardianship/Conservatorship, Probate Mental Health, and Protection Orders.
- Develop and deploy time standards reports using Crystal Reports against JOLTS to assist Juvenile Courts in managing caseloads relative to the published time standards for Juvenile Delinquency and Status Offense, Juvenile Neglect and Abuse, and Juvenile Termination of Parental Rights.
- Develop and deploy time standards reports using Crystal Enterprise against AZTEC to assist Justice and Municipal Courts in managing caseloads relative to the published time standards for Civil, Misdemeanor, Eviction Action, Small Claims, Civil Local Ordinances, Civil Traffic, and Protection Orders.
- Maintain reports for DUI cases relative to the time standards to assist Justice and Municipal Courts.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Developed and deployed 8 additional dynamic, criminal and civil reports for all 13 AJACS superior courts. Reports completed include:
 - Age Of Active Pending Civil Traffic Summary,
 - Age Of Active Pending Civil Traffic Detail,
 - Time to Disposition Civil Traffic Summary,
 - Time to Disposition Civil Traffic Detail,
 - Age Of Active Pending DUI Summary,
 - Age Of Active Pending DUI Detail,
 - Time to Disposition DUI Summary, and
 - Time to Disposition DUI Detail.

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

PROJECT DESCRIPTION

This project was established to create reports in support of reaching published time standards in Arizona’s Courts. Timely justice promotes public trust and confidence in the courts. In 2011, the National Center for State Courts published “Model Time Standards for State Trial Courts.” These standards for the disposition of cases in the state courts were developed and adopted by the Conference of State Court Administrators, the Conference of Chief Justices, the American Bar Association House of Delegates, and the National Association for Court Managers. With AO 2012-80, Chief Justice Berch established the Committee on Time Standards to review the national case processing time standards with respect to Arizona’s statutes and rules and then establish case processing time standards for Arizona’s courts. The committee gathered input and feedback from all key justice partners for Arizona courts and drafted a provisional set of standards outlined in an interim report to the Arizona Judicial Council. Data-driven reports need to be developed in support of these standards. The reports illustrate a court’s performance relative to the standards. Nineteen specific case types were identified by the Time Standards Committee, covering municipal, justice, and superior courts. Information will be provided about how the court has performed in the past through “time to disposition” reports. Information will be provided about the age of current cases relative to the standards through “age of active pending” reports. Both summary and detail reports will be provided for all case types.

The data for Arizona’s state-supported courts resides in separate CMSs depending on the case type. For this reason, reports for different case types will be written against different systems.





PROJECT GOALS AND ACCOMPLISHMENTS

PROJECT GOALS

- Provide local and statewide solutions that reduce the time and costs associated with court interpreting events while increasing access to interpretation services across the entire state.
- Identify individuals and organizations to provide interpreting services through video remote technology using the Arizona Judicial Information Network (AJIN) in a safe and secure fashion.
- Explore cloud-based technology as a potential solution to offering a portal through which multiple vendors might be able to provide interpreter services.

PROJECT GOALS ACCOMPLISHED IN FISCAL YEAR 2016

- Held 41 interpreted events using the AOC interpreting room. The vast majority (82%) of these involved an American Sign Language (ASL) interpreter, however, Vietnamese and Somali hearings were also held using the system.
- Convened initial meetings and created plans for a pilot project with Cisco and Telepresence to provide a flexible, cloud-based solution. The intent of the pilot is to prove the concept of a tiered model allowing scheduled and on-demand interpreter services remotely.

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

PROJECT DESCRIPTION

Litigants having limited English proficiency enter the court system every day. In order for these individuals to have access to justice and the services of the court system, interpreters are needed. The cost of interpreters, particularly in rural counties, can be exorbitant. For contract interpreters, courts must pay for travel as well as the interpreter's time. Staff interpreters spend considerable amounts of time driving between court venues in their counties of operation. This is time that could otherwise be spent interpreting.

Video Remote Interpreting (VRI) allows an interpreter to appear in the court remotely, thereby reducing the associated costs. Video drastically surpasses telephonic interpreting because so much information is conveyed through body language and facial expression. This remote appearance allows two-way communication so that simultaneous interpreting (a requirement in judicial proceedings) can be accomplished. This approach also supports Sign Language interpreting.

The eventual goal of this project is to allow a suite of solutions for receiving interpreting in the court through video and to provide interpreting staff as well as multiple vendors and contractors the ability to appear remotely in the courtrooms and court settings around the state.

