

# Maryland Administrative Office of the Courts Case Management System Replacement

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Integrated Statewide Case Management System Project Charter

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***Document Purpose***

The purpose of this document is to define the scope, objectives, and overall approach for the work to be completed. It is a critical element for initiating, planning, executing, controlling, and assessing the project.

Version	Date	Description/Changes
1.0	1/22/2009	Initial working draft.
2.0	1/23/2009	Suggested revisions from Mr. Mark Bittner.
2.1	1/23/2009	Revised per comments from Mr. Bittner.
2.2	1/28/2009	Revised to align better with Advisory Committee goals statement.
2.3	2/3/2009	Proofread and edited.
2.4	2/19/2009	Revised with comments from Advisory Committee.
2.5	2/27/2009	Revised with comments from Ms. Suzanne James.
2.6	3/17/2009	Revised with comments from the Advisory Committee on 3/16/2009.
2.7	4/1/2009	Executive Summary revised by Mr. Frank Broccolina.
2.8	4/20/2009	Revised capitalization on "Judiciary."

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## I. Executive Summary

## I. Executive Summary

Complete, accurate, and timely information is the currency of any effective justice system. The need for such justice information is not only critical to the courts for their legal and management decision making, but reciprocally, courts are the sole source of information crucial to law enforcement and other justice agencies. As the state moves to integrate justice information, the Maryland Judiciary's legacy case management systems (CMSs) are strained beyond their capabilities to generate and, ultimately, to transfer the needed court data in an efficient and timely manner. As a result, the Judiciary must replace its decades-old, extant automated systems of varying functionality and performance. Specifically, these systems consist of five major legacy CMSs and 22 significant court applications in support of the courts and their justice partners.

The Judiciary established an Advisory Committee to initiate a planning process for the development and implementation of a single, Judiciary-wide, integrated CMS. This document serves as the Project Charter for that initiative and proposes what the committee considers the essential functionality for a successful system: Web-based case processing and interoperability for the intergovernmental transfer of data, document management, improved access to selected data, electronic filing and payment, and statistics and reports for enhanced court management. Collaterally, the committee advances three anchoring strategic goals to guide and prioritize what is to be accomplished:

- Public safety.
  - » Share information within the court system and with justice partners.
  - » Enable and advance information technology (IT) interoperability with justice partners.
  - » Facilitate better-informed decision making.
  - » Enable more rapid dissemination and enforcement of court orders.
- Access to justice.
  - » Improve support to litigants.
  - » Reduce barriers to access, such as language, education, and others.
  - » Enable access from anywhere, anytime.
- Fair and efficient administration of justice.
  - » Reduce delays.
  - » Better enable and manage flexibility and improvement in court operations statewide.

- » Better schedule and coordinate use of Judiciary and other government resources.
- » Enable better-informed decision making.

The scope and complexity of this project will require the participation of all the courts in the state and the justice community over a number of years. This charter also will serve to determine the appropriate level of impact of the new system on each stakeholder, establish a framework for the timing of these impacts, and identify the organizations that will contribute to the effort and the extent of that contribution.

The Judiciary's new CMS will comprehensively automate all court case management and provide the necessary interoperability to facilitate the timely transfer of court information to all justice partners.

## **II. Introduction**

## II. Introduction

The Project Charter for the Integrated Statewide Case Management System (ISCMS) project is a document that details the project team's understanding of the activities that are required to make this project successful. The purpose of this charter is to serve as an agreement between the project team and the Maryland Judiciary and the Maryland Administrative Office of the Courts (AOC), stating what will be delivered according to the budget, time constraints, risks, resources, and standards agreed upon for the project. This document should be the single point of reference for the project and includes the following elements:

- *Project Scope* –The project scope defines the goals, objectives, project boundaries, and products and/or services that will be delivered.
  - » *Goals and Objectives* – This section identifies the overall context for what the project is trying to accomplish and objectives contributed by this project to achieve each goal.
  - » *Organizational Impacts* – This section identifies the organizations both benefiting from and impacted by the implementation of ISCMS.
  - » *Project Deliverables* – This section includes a description of applications that are inside the boundaries or scope of the project.
  - » *Deliverables Out of Scope* – This section includes a description of applications that are outside the boundaries or scope of the project.
- *Project Conditions* – This project conditions illustrate the assumptions, issues, risks, and constraints on this project.
  - » *Project Assumptions* – This section identifies what the project team believes to be true for this project.
  - » *Project Issues* – This section identifies items that must be addressed to ensure success of this project.
  - » *Project Risks* – This section identifies items that must be mitigated to prevent failure of this project.
  - » *Project Constraints* – This section identifies the limitations that are outside the control of the project team and need to be managed.
- *Project Oversight and Authority* – This section describes the level of oversight and authority on this project.

Finally, it is recognized that this document contains a material number of acronyms. To aid the reader, we have included an acronym list with descriptions in APPENDIX A.

### **III. Project Overview**

### III. Project Overview

In support of its long-term business and technology goals, the Maryland Judiciary has initiated this project to implement an ISCMS to replace multiple local and state systems. This section provides a description of the project, provides a list of key problems in support of the business reasons for initiating this project, and outlines the key factors that will contribute to the success of the project.

#### A. Project Description

MTG Management Consultants, LLC's assessments of the Maryland court environment identified many issues in the ability to input, maintain, manage, and retrieve case information. In addition, the current IT systems in the Maryland courts have been designed and built over a period of many years. The resulting applications do not fully support all case management activities in all the courts. By replacing the current applications with an integrated CMS, Maryland Judiciary is expected to yield business value in the following ways:

- Eliminate paper files for new cases.
- Greatly enhance interoperability between case management and other applications both internally and externally.
- Eliminate process delays, both internal and external.
- Support all court operations with CMS capabilities.
- Increase the number and quality of services provided to justice partners and the Maryland State Bar Association.

This project is focused on enabling a future operating environment as depicted in EXHIBIT I. In addition, the AOC seeks to reduce risk of system failure and enhance ease of use for court staff.

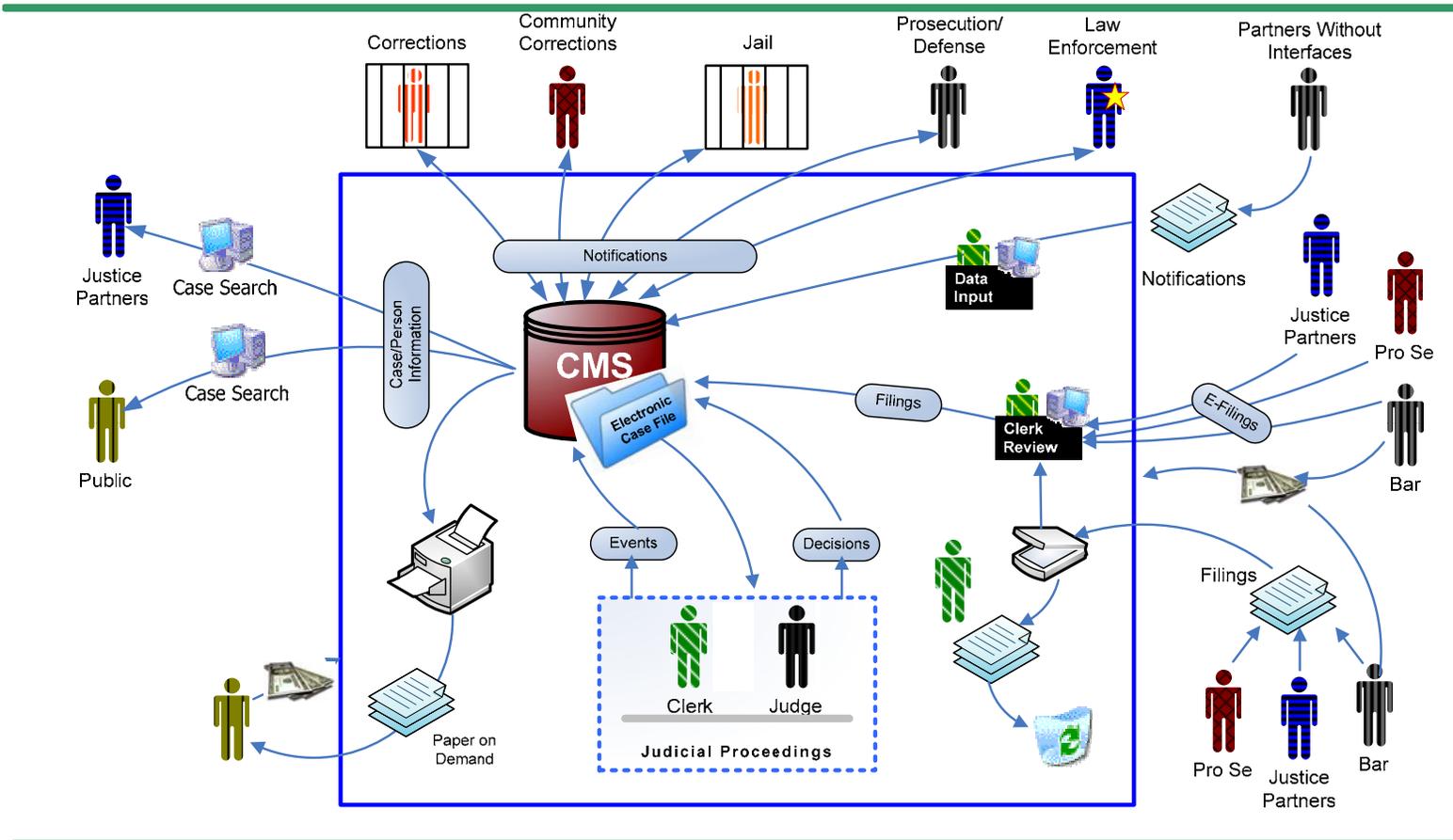
This project includes the planning, design, development, implementation, and evaluation of an integrated statewide state-of-the-art CMS to replace multiple local and state systems.

#### B. Problem Statement

The Maryland court system functions with the use of a wide variety of state and local systems varying in age, functionality, and performance. MTG's assessments of the entire court environment included the use of this technology, existing business processes, and management practices. As a result, several key problems were identified that support the business reason(s) for initiating this project.

MARYLAND ADMINISTRATIVE OFFICE OF THE COURTS  
CASE MANAGEMENT SYSTEM REPLACEMENT

**FUTURE VISION – GENERAL COURT OPERATIONS**



**Assumptions**

- No Paper Files/New Court Case Records 100 Percent Electronic
- Day 1 Forward/New and Reopened Cases
- DCM/Workflow Management
- Fees Will Be Collected Electronically and Manually

**Benefits**

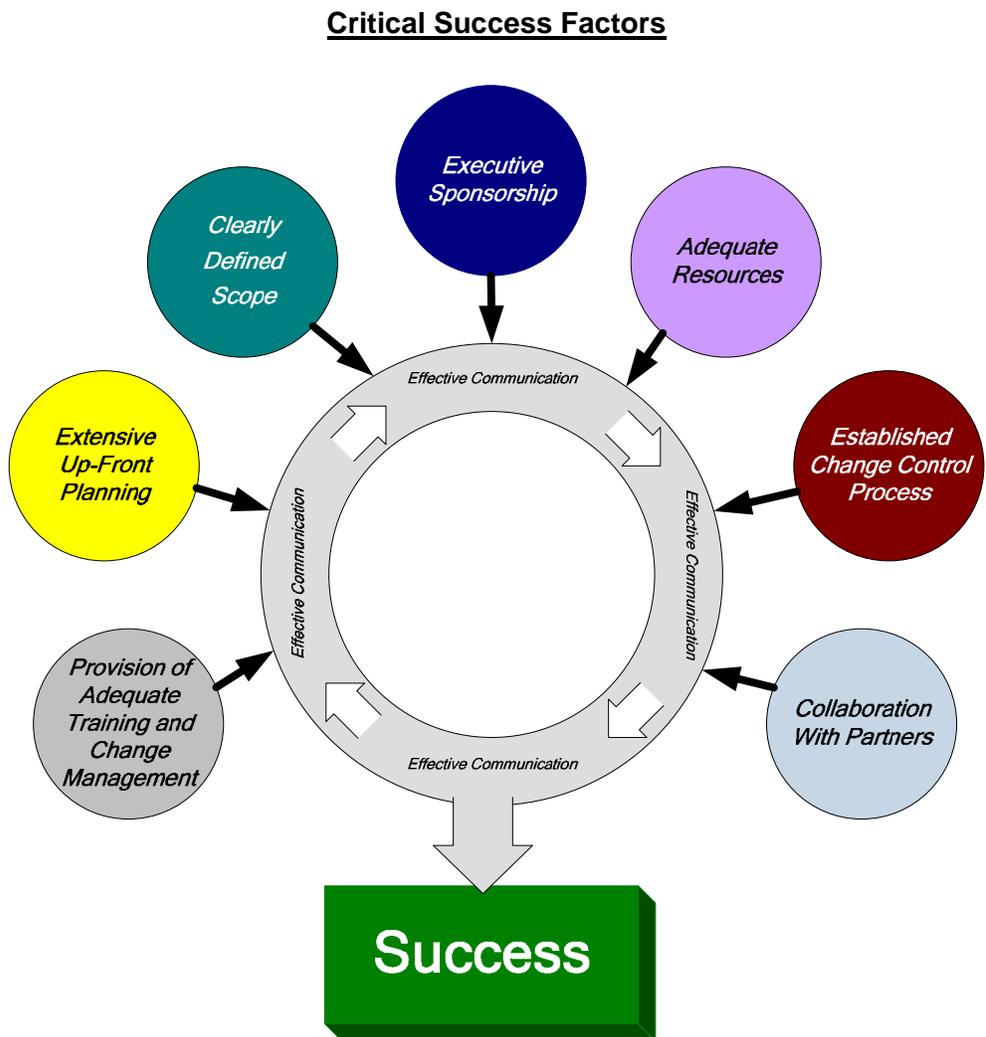
- Eliminate Paper Files (New Cases)
- Greatly Enhance Interoperability
- Eliminate Process Delays (Both Internal/External)
- Support Court Operations With CMS
- Increase Service and Flexibility to Partners and Bar

- *Lack of Functional Support* – There is a lack of functional support for some or all of the case management operations of the District Court, circuit courts, appellate courts, and problem-solving courts. These issues include inconsistent user interfaces, limited error prevention, application interdependence, lack of case-processing flexibility, and difficulty with ad hoc scheduling.
- *Unified Case System (UCS) Uses Unsupported Technologies* – The development environment for UCS is no longer supported, is difficult to maintain, and will not migrate to the new server environment installed in 2007.
- *Workforce Attrition* – Several key managers and staff members are likely to retire over the next 5 years. Although the issue has been identified as a key transition issue, plans have not been finalized to limit impact on the ISCMS implementation
- *Workflow Variations* – Generally, moderate but not substantial case management workflow variations exist in all trial courts in Maryland. This applies to the District Court to a small extent and to the circuit courts and the problem-solving courts to a larger extent. The drivers of these variations in case management are due to the Maryland Rules, geography, population served, court layout, and local legal climate and technology.
- *Missing Capabilities* – There are many areas in the courts that have no software or system support. In the District Court, these areas include short-term and ad hoc calendar management, landlord/tenant docket, civil courtroom proceedings, reissuing, and interpreter management. In the circuit court these areas include ad hoc reporting, processing in bulk, interpreter management, and case cleanup functionality.
- *Inefficient Functionality* – The current court systems manage most of the key court activities, but are inefficient. The District Court systems are limited in case flow management, probation before judgment, deferred payments, and capabilities to support process improvements. The circuit court systems have limits in the areas of reporting, scheduling and assignment, trial dockets and calendars, case track management, alternative dispute resolution (ADR), and case flow.
- *Dependency on Paper Files* – The current systems do not support electronic files and electronic documents. While there is a capability to track files in the circuit courts' UCS, this feature is not consistently used.
- *Insufficient Access to Case Information* – There is limited access to case information across courts and other agencies. Limited areas include visibility of the history-related cases, court schedules, detention status, and outstanding warrant information.
- *Inconsistent Functionality* – The data fields vary in size and sequence from application to application, and worksheets and forms are not synchronized with the application screens throughout the District Court applications.

- *Increasing Application Risk* – With each new Differentiated Case Management plan, the complexity in implementing custom code and database settings results in increasing application management effort and cost. The disorder is increasing and is destined to reach a breaking point at which a single fault may cause a prolonged system failure.

**C. Critical Success Factors**

There are a limited number of factors for which results will ensure the success of a project, and if results in these factors are not adequate, the outcome of the project will be less than desirable. These are called Critical Success Factors (CSFs) and should be strongly related to the mission and strategic goals of the project. Whereas the mission and goals focus on the aims and what is to be achieved, CSFs focus on the most important areas and get to the core of what is to be achieved and how to achieve it, as well as the elements that are absolutely essential to the project’s success. The following diagram illustrates how CSFs contribute to the project success.



Managing to achieve the following CSFs helps ensure that the project will remain on track toward common aims and goals and avoid wasting effort and resources on less important areas:

### ***Clearly Defined Scope***

JIS currently provides a very broad array of application services to the court community. This project addresses a significant but limited subset of those services. This Project Charter sets forth a clearly defined scope of work to outline exactly what the project will and will not include. In addition, maintaining this clarity of scope greatly increases the likelihood that the expectations for the project will be achieved and prevents miscommunications when additional tasks, out of scope, are introduced into the project. It is also important that all exclusions in the scope of work are also identified. In addition, JIS is implementing a change control process for all IT assets under its management. By clearly framing these at the outset of the project with a well defined scope and maintaining this scope throughout the project, the likelihood of success greatly increases.

### ***Executive Sponsorship***

Any project without support from its top management will fail. This project involves fundamental operational change for the courts and for JIS. There must be executive management sponsorship and support. Every line of business in the courts has different objectives, culture, and processes. If an enterprise-wide system is to be put in place, the system must be effective everywhere throughout the Judiciary.

If the plan does not produce measurable, observable value, then eventually the project will lose momentum and shut down. No matter how well-run a project is, problems arise (e.g., conflicting business needs), so the Maryland Judiciary, Maryland AOC, and management staff need to be on board to help avoid some of these problems. On a statewide basis, this will require support from:

- The Chief Judge of the Court of Appeals.
- The Chief Judge of the District Court.
- The State Court Administrator.
- The Chief Clerk of the District Court.
- The Executive Director of JIS.
- Chief executives of state justice partners.

At a local level, this will require support from:

- The Administrative Judge.

- The Trial Court Administrator.
- The Clerk of Court.
- The Administrative Clerk.
- Chief executives of local justice partners.

As such, this is a top-down effort requiring every executive in the organization to support it, offer up resources, and drive the implementation within his/her part of the organization.

### ***Extensive Up-Front Planning***

All projects must have a plan with sufficient detail so that everyone involved knows the project's status. The strategic and tactical plans provide the following benefits:

- Clearly documented project milestones and deliverables.
- A valid and realistic time scale.
- Production of accurate cost estimates.
- Detailed resource requirements.
- An early warning system that provides visibility of task slippage.
- Maintenance of project team focus and awareness of project progress.

Projects that start execution without fully understanding the work to be done (and getting the sponsor to agree) are usually destined for problems. By the time the executive sponsors realize that the project team is not in sync, it is usually very difficult to get back on track within the allocated budget and time frame.

### ***Adequate Resources***

As with most projects, the critical resources for ISCMS include both financial resources and human resources. This is a large project that will require a significant capital investment over a period of approximately 5 years. Beyond that, ISCMS will require ongoing funding to maintain hardware, software, and customer support.

In addition, the project's success will depend on the availability of human resources. The implementation of ISCMS will require:

- Personnel with the key IT skills and experience in the implementation of the technologies that will be employed by ISCMS.
- Project and program managers to coordinate projects and manage complex procurements.

- Subject matter experts (SMEs) from the Maryland courts to aid in the configuration and design of systems, procedures, and policies to implement the future vision for ISCMS.

Finally, ISCMS is a large, multiyear project. It will need “bench strength” to absorb a temporary or permanent loss of a team member or to simply staff the project to get the job done.

### ***Effective Communication***

Effective communication will be a critical component at all stages of this project and is vital in creating an atmosphere for achieving project success. Communication is not only essential within the project team, but also between the team and other stakeholders.

A communication plan has been outlined as an adjunct to the project plan. This communication plan will identify the information needed by various staff members, when the information will be needed, and in what form it will be given to them. It will include the collection and filing structure, the reporting structure, and the frequency of reporting. This ensures that all parties know what information they are due to receive during the project and whom they must communicate with to get their issues addressed.

### ***Established Change Control Process***

An established change control process is imperative to any successful project. Change control is a method for implementing only changes that are worth pursuing, and for preventing unnecessary or overly costly changes from derailing the project. Many changes that initially sound like good ideas will get thrown out once the true cost of the change is known. If the benefit of the change is worth the cost and approval is obtained from executive management, the project manager updates the plan to reflect the new estimates. Otherwise, the change is thrown out and the team continues with the original plan. JIS recently established the Change Control Board (CCB) and is implementing a change control process. The CCB will focus on limiting changes to the legacy systems. The Advisory Committee will serve this function for the ISCMS project.

### ***Provision of Adequate Training and Change Management***

The ISCMS project will enable dramatic change in court operations. Such significant change can cause confusion and frustration if people do not understand how to efficiently perform their jobs using the new tools and procedures. Therefore, spending time and money on training, change management, job design, etc. is crucial to any CMS project, especially ISCMS.

## ***Collaboration With Partners***

The success of this project will depend on the AOC's ability to collaborate with its partners in two different areas:

- *Technical* – This project will require a collaboration of technology organizations to deliver and integrate the technology assets that are needed. This will involve technologists from JIS, the executive branch of Maryland government, the courts, counties, and the vendor community.
- *Operational* – The benefits of the investment hinge on reengineering processes across organizational boundaries. For example, linking court cases for an individual requires positive identification in order to be reliable. Realizing the benefits of ISCMS will require new identification processes for the courts. This is a capability that Maryland Department of Public Safety and Correctional Services (DPSCS) is uniquely positioned to provide the courts. In addition, this will require capital and operational funding for both DPSCS and the courts.

## **IV. Project Scope**

## IV. Project Scope

As noted in the previous subsection, clear project scope is a CSF for any project. It sets expectations for return on investment and identifies the products and/or services that will be delivered. The scope included in this document will establish the boundaries of the project and will also include a description of products and/or services that are outside the scope of the project.

### A. Court Management System Goals

The Advisory Committee for ISCMS has developed three anchoring strategic goals related to the future vision of the court management and Judiciary information systems. Each goal has been refined to clarify what is to be accomplished:

- Public safety.
  - » Share information within the court system and with justice partners.
  - » Facilitate better-informed decision making.
  - » Enable more rapid dissemination and enforcement of court orders.
- Access to justice.<sup>1</sup>
  - » Improve support for litigants.
  - » Reduce barriers to access, such as language, education, and others.
  - » Enable access from anywhere, anytime.
  - » Provide new justice delivery options.
- Fair and efficient administration of justice.
  - » Reduce delays.
  - » Better schedule and coordinate use of government resources.
  - » Facilitate better-informed decision making.
- Reliable technology.
  - » Employ reliable technology.

These high-level goals drive the IT solutions that are provided by JIS. They help all stakeholders prioritize the activities and implementation schedule.

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<sup>1</sup> The applications within the scope of this charter do not address all of the Access to Justice goals. This charter does not materially address: Improve support for litigants; and Reduce barriers to access, such as language, education, and others.

## B. Objectives

The goals identified above have driven decisions on the outcomes of this project. The table in EXHIBIT II shows how the objectives support the goals for court management systems. The table includes the three goals listed above, along with a fourth goal addressing technology. For each goal, the objectives are listed along with the due dates for accomplishing each objective.

## C. Organizational Impacts

The implementation of ISCMS has a widespread impact on internal and external stakeholders. The chart below helps to determine the appropriate level of impact and establishes a framework for the timing of the impact on each class of stakeholder.

**Stakeholder Impact by Application**

Primary Customers	ISCMS	Scheduling	Report Generation	E-Payment	Electronic Content	Workflow Management	E-Access to Court Records	E-Filing	Integrated Justice
District Court	✓	✓	✓	✓	✓	✓	✓	✓	✓
Circuit Courts	✓	✓	✓	✓	✓	✓	✓	✓	✓
Court of Special Appeals	✓	✓	✓	✓	✓	✓	✓	✓	✓
Court of Appeals	✓	✓	✓	✓	✓	✓	✓	✓	✓
Clerks of Circuit Court	✓	✓	✓	✓	✓	✓	✓	✓	✓
AOC	✓	✓	✓	✓	✓	✓	✓		✓
Other Court Agencies		✓	✓		✓	✓			
Parties and Parties' Counsel		✓		✓			✓	✓	
Self-Represented Litigants		✓		✓			✓	✓	
Victims and Witnesses		✓		✓			✓	✓	
Interested Third Parties		✓		✓			✓	✓	
Police		✓		✓			✓	✓	✓
Sheriff	✓	✓		✓			✓	✓	✓
DPSCS		✓					✓	✓	✓
Public Defender	✓	✓		✓	✓	✓	✓	✓	✓
Attorney General	✓	✓		✓	✓	✓	✓	✓	✓

MARYLAND ADMINISTRATIVE OFFICE OF THE COURTS  
CASE MANAGEMENT SYSTEM REPLACEMENT

**GOALS AND OBJECTIVES**

Goals	Objectives	Due Date
<b>Public Safety</b>		
Share information within the court system and with justice partners.	Implement data publication engine, enabling justice partners to inquire into court data.	TBD
	Implement a document publication engine, allowing justice partners to inquire into court documents.	TBD
Facilitate better-informed decision making.	Provide complete CMS functional support for the courts and lines of business (LOBs) that lack application support.	TBD
Enable more rapid dissemination and enforcement of court orders.	Implement a facility to automatically send information to justice partners when key court events occur.	TBD
<b>Access to Justice<sup>1</sup></b>		
Enable access from anywhere, anytime.	Implement data and document publication engine, allowing litigants to inquire into court records.	TBD
Provide new justice delivery options.	Implement e-filing.	TBD
<b>Fair and Efficient Administration of Justice</b>		
Reduce delays.	Provide a court workflow management tool for use by local court administrators and the AOC.	TBD
	Provide enhanced reporting, analysis, and performance measurement tools.	TBD

<sup>1</sup> The applications within the scope of this charter do not address all of the access to justice goals. This charter does not materially address the following: improve support for litigants and reduce barriers to access, such as language, education, and others.

Goals	Objectives	Due Date
Better enable and manage flexibility and improvement in court operations statewide.	Provide a court workflow management tool for use by local court administrators and the AOC.	TBD
	Provide enhanced reporting, analysis, and performance measurement tools.	TBD
Better schedule and coordinate use of government resources.	Establish an electronic case file as the official court record.	TBD
Enable better-informed decision making.	Improve existing application support and functionality.	TBD
	Fill the gaps in needed functionality.	TBD
	Implement an integrated CMS application suite serving all Maryland courts.	TBD
	Design a single logical data repository that can support data sharing between all levels of the Maryland courts.	TBD
<b>Employ Reliable Technology<sup>2</sup></b>		
	Eliminate obsolete systems and platforms and provide a supported platform.	TBD
	Reduce the risk of a loss of IT knowledge base due to employee attrition.	TBD
	Reduce the complexity and broad/diverse array of technologies that make up the current CMS applications.	TBD
	Design and implement target enterprise architecture (EA) that defines standards.	TBD
	Establish a process for managing exceptions to the target EA.	TBD
	Introduce enterprise standards for human and machine interfaces.	TBD

<sup>2</sup> Request for Proposal No K-07-7036-25, Sections A through C: Modernization Overview, ISCMS Project.

Primary Customers	ISCMS	Scheduling	Report Generation	E-Payment	Electronic Content	Workflow Management	E-Access to Court Records	E-Filing	Integrated Justice
State's Attorneys	✓	✓		✓	✓	✓	✓	✓	✓
Probation Agencies		✓		✓	✓	✓	✓	✓	✓
City and County Detention Centers		✓		✓	✓	✓	✓	✓	✓
State Institutions		✓		✓	✓	✓	✓	✓	✓
Motor Vehicle Administration (Traffic Citations)		✓		✓	✓	✓	✓	✓	✓
Mayor's Office of IT (Parking Tickets)		✓		✓	✓	✓	✓	✓	✓
Juvenile Services	✓	✓			✓	✓	✓	✓	✓
Health and Mental Hygiene	✓	✓			✓	✓	✓	✓	✓
Child Support Enforcement	✓	✓		✓	✓	✓	✓	✓	✓
Central Collections		✓		✓	✓	✓	✓	✓	✓
General Public/Press					✓	✓	✓		
Credit Agencies					✓	✓	✓		
Court Data Compilers/Aggregators					✓	✓	✓		
State Treasury/Comptrollers				✓ <sup>2</sup>					
Maryland Archives					✓	✓	✓		

These organizations will be called on to collaborate with the AOC and contribute to the effort at the time of implementation. Post-implementation, these organizations will realize a variety of benefits from the new applications. The level of impact to each stakeholder will vary over time and depend on the schedule of deployment of court applications.

In addition, certain management and oversight groups will be involved in this project. These organizations will be heavily involved in the implementation and include:

- Technology Oversight Board (TOB).
- ISCMS Advisory Committee.

<sup>2</sup> AOC Finance, the Maryland Comptroller's Office, and the State of Maryland Treasurer's Office will be stakeholders in the settlement/reconciliation process for electronic payments.

- Architecture Control Board.
- Change Control Board.
- JIS.
- Data Definitions Committee.
- Existing circuit court and District Court user groups.
- Court implementation teams.
- County/city implementation teams.
- Maryland Criminal Justice Information Advisory Board.

These groups will provide project oversight, project management, and/or technical expertise in this implementation effort.

#### **D. Project Deliverables**

At the onset of this project, the essential deliverables are defined as fully operational case management applications. This includes the policies, procedures, data conversion, training, and documentation required to make these applications fully functional. The applications outlined below are within the scope or boundaries of this project. These are organized into three major categories: Court Management, Court Network, and Report Generation.

##### ***Court Management***

These applications support the judicial operations of the district, circuit, and appellate courts and are considered inside the boundaries or scope for this project:

- *ISCMS* – This application provides basic case management capabilities, including:
  - » *Case Initiation and Indexing* – This function involves initially entering and indexing newly filed, transferred, reopened, remanded, counter- or cross-claimed, de novo appealed, and other new cases. It includes ongoing indexing activity of subsequent filings for each case.
  - » *Docketing and Related Recordkeeping* – This includes initiating and maintaining the docket or register of actions of activities that are part of the official court record and maintaining the relationships between and accessibility to docket-related information for a given case and cases that relate to it.
  - » *Document Generation and Processing* – The activities associated with creating, distributing, and tracking court documents such as notices, orders, and judgments.
  - » *Hearings* – This function involves the activities associated with reaching a decision in calendared events (e.g., hearings, verbal arguments, confer-

ences); recording the results of these events; and notifying the appropriate persons of court decisions. In the context of this document, calendared events include all proceedings in which arguments, and possibly witnesses, are heard, and evidence and exhibits may be examined by a judge, judicial officer, master, or appellate panel.

- » *Disposition* – The disposition function addresses activities associated with disposing a case, issues, parties, or charges/allegations in a case. This function also supports the user in accomplishing the disposition-related actions called for in court orders.
- » *Compliance* – This function supports post-disposition (i.e., post-conviction or post-judgment) activities associated with monitoring compliance with sentence and supervision conditions, as well as terms of a court order for alimony, child support, restitution payments, or other judgments.
- » *Case Close* – This function is used to close a case when all provisions of the court order have been satisfied.
- *ADR* – This capability supports ADR processes, enabling document preparation and recording of events and outcomes. This application will support the transition of ADR cases for traditional court case processing. In addition, this will support the program management efforts of the Maryland Alternative Dispute Resolution Office.
- *Probate Proceedings* – This capability supports the specialized procedures involved in the operations of probate court. This includes the registration of wills and trusts.
- *Bondsman Tracking* – This application tracks the bonds posted by bondsmen statewide and across all courts. It tracks the collateral pledged to back those bonds and ensures that this is not done fraudulently.
- *Scheduling* – Scheduling sets upcoming events, maintains and displays information on scheduled events, and monitors adherence to schedules. This function also supports generation and distribution of court calendars. This application will support self scheduling and the scheduling of interpreters.
- *Electronic Content Management* – This facility supports records management, enabling the courts to employ paperless court operations that include creating, managing, tracking, archiving, and disposing case records and receiving, tracking, and returning or destroying exhibits and other property.
- *Workflow Management* – This facility enables automation and management of business processes with both local and AOC administration.

## ***Court Network***

These applications provide public and partner interfacing functions. They are fundamental components of the Maryland Judiciary's interoperability plans. The following are considered inside the boundaries or scope for this project:

- *Integrated Justice* – These facilities enable enterprise and extra-enterprise application integration. Features include:
  - » *Application Connectivity* – Providing secure communication between AOC applications and other applications, both internal and external to the judicial branch.
  - » *Messaging* – Providing publish, subscribe, request/reply, synchronous/ asynchronous, and simple point-to-point messaging.
  - » *Data Transformation* – Providing facilities to translate data received or produced by AOC applications.
  - » *Registry Services* – Maintaining a discoverable registry and repository of information about integration data, transformation, and services offered by the AOC. This will be a key component for maintaining and publishing industry and AOC interoperability standards.
  - » *Business Process Management* – Providing facilities for the modeling, testing, execution, monitoring, and optimization of interagency (and intra-agency) business process integration and workflow management.
  - » *Partnership Management* – Maintaining records of interagency and service level agreements that enable integrated justice information sharing.
- *Electronic Filing (E-Filing)* – The functionality standards for e-filing<sup>3</sup> include both the essential and optional functions that an electronic filing application should contain, whether developed and operated by a court, a private sector service provider, or some other public entity. The functional standards call for an electronic filing system that includes the following:
  - » Acceptance of filings from lawyers or parties in electronic form.
  - » Acceptance of filings (such as orders and notices) from judges and court staff.
  - » Acceptance of filing and other fees electronically.

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<sup>3</sup> Standards for Electronic Filing Processes (Technical and Business Approaches), approved by COSCA and NACM ([http://ncsconline.org/D\\_Tech/standards/Documents/pdfdocs/Recommended\\_%20Process\\_%20standards\\_02\\_26\\_03.pdf](http://ncsconline.org/D_Tech/standards/Documents/pdfdocs/Recommended_%20Process_%20standards_02_26_03.pdf)).

- » Display of filed documents for lawyers, parties, judges, court staff, appellate courts, and the public.
- » Storage and archiving of documents in electronic form.
- » Notice of filing of documents to parties and counsel participating electronically in the case.
- » Acceptance of draft orders for review by a judge and return to the drafter.
- » Security features to limit access to confidential documents.
- *Electronic Access to Court Records (E-Records)* – The existing case search application compiles case management data for all the courts' CMSs on a real-time basis and provides inquiry access into this data. This application expands the scope of records that will be made available (as appropriate), to include:
  - » All CMS records, including:
    - Warrants.
    - Orders (including protection orders).
    - Accounts receivable.
    - Judgments.
    - Sentences.
  - » Domestic violence.
  - » Document images.
  - » Schedules.
- *Self-Scheduling (E-Scheduling)* – The ability for parties to a case to arrange their schedule with the court, without the assistance of the assignment/scheduling office. Examples include:
  - » State's Attorney's Office or Maryland Department of Juvenile Services sets a case prior to filing, using a basic calendar provided by the court.
  - » Courtroom clerk or court reporter sets a case, as instructed in the courtroom by a judge.
  - » A litigant schedules a court event, using an event chart, similar to an airline check-in kiosk.
  - » Law enforcement officers coordinate their shift schedules and court appointments.
- *Electronic Commerce (E-Commerce)* – This application supports ordering, payment, fulfillment, accounting, and reconciliation online. For the courts, this will support:

- » Collection of court-ordered fines, fees, and restitution.
- » Payment of fees for online information requests and document filing.

While these are deliverables for JIS and the rest of the Maryland Judiciary, the success in implementing these facilities will depend on the collaboration of the justice community.

### ***Report Generation***

The reporting functions will assist the AOC and the courts with administrative and management duties, and are considered inside the boundaries or scope of the project.

- *Performance Measurement* – Facilities tracking and generating caseload, case flow, workload, and other performance measurement and analysis.
- *Reporting* – Support for standard and ad hoc case management and statewide statistical reporting.

### **E. Out-of-Scope Efforts**

As important as it is to specify what is in scope, it is equally important to identify what is out of scope. This clarifies the focus of the project and more accurately specifies expectations. While important to court operations, the applications outlined below are excluded from the scope of this project. These applications are currently being provided in separate efforts or can be implemented as additions to ISCMS. As stated above, these are organized into four major categories: Court Management, Court Network, Clerk Applications, and Business Management.

#### ***Court Management***

These applications support the judicial operations of the district, circuit, and appellate courts are considered outside the boundaries or scope of the project.

- *Recording* – This facility records the proceedings of court hearings and manages the access to these records.
- *Jury Management* – This application supports the administration of the jury process.
- *Interpreter Management* – This application manages the employment of interpreters by court and across the state. These functions include human resource management and payroll.
- *Cashiering and Receipting* – This function supports courthouse cashiering, application of payments, receipting, deposit of collections, and reconciliation.

- *Accounts Receivable* – This function supports tracking of accounts receivable by court case and individual. It enables the collection and application of payments, receipting, deposit of collections, and reconciliation.<sup>4</sup>
- *Escrow Accounts* – This capability supports the collection, accounting, and disbursement of escrow funds.<sup>5</sup>
- *Fund Allocation* – This function supports the allocation and distribution of fines, fees, reimbursed costs, and restitution that has been collected by the court.
- *In-Court Display Systems* – These facilities provide for in-court display of electronic media.
- *Fees Payment* – This includes the payment of license fees in courts and the payment of registration fees for AOC and Maryland State Bar Association events (e.g., exams).

### ***Court Network***

These applications provide public- and partner-facing functions and services and are considered outside the boundaries or scope of the project.

- *Access to Justice*<sup>6</sup> – This application supports self-represented litigants and implements recommendations from the Maryland Judiciary Work Group on Self Representation in the Maryland Courts. Capabilities include:
  - » Forms distribution.
  - » Forms completion.
  - » Document assembly.
  - » Integrated voice response.
  - » Web chat.
  - » Law library access.
  - » Video library access.

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<sup>4</sup> At present, accounts receivable duties are performed by UCS Accounting Module. This module will need to be replaced when UCS is decommissioned. If it is not included in the scope of this project, the implementation of replacement functionality must be synchronized with this project.

<sup>5</sup> Escrow accounting is currently performed by UCS Accounting Module. This module will need to be replaced when UCS is decommissioned. If it is not included in the scope of this project, the implementation of replacement functionality must be synchronized with this project.

<sup>6</sup> Clearing the Path to Justice: A Report of the Maryland Judiciary Work Group on Self-Representation in the Maryland Courts, August 2007.

- ***Paging and Notification (E-Paging/-Notification)***<sup>7</sup> – Paging and notification automatically generates messages to mobile devices and systems when an event occurs in a court application. Most commonly, this involves the generation of a notice to a mobile device for upcoming court events. Recipients include counsel, witnesses, victims, litigants, and other stakeholders.
- ***Interactive Voice Response*** – These facilities provide a telephonic access to court information and services. This tool allows members of the public to access these services using their telephones.
- ***Public Display Systems*** – These facilities provide for the display of information to the public in the courthouse.
- ***E-Discovery*** – These applications assist legal offices in complying with discovery requirements.

### ***Clerk Applications***

These applications support some of the nonjudicial functions of the clerk's office and are considered outside the boundaries or scope of the project.

- ***Marriage Licenses*** – This application supports the Clerk of Court in managing the administration of marriage licenses.
- ***Business Licenses*** – This application supports the Clerk of Court in managing the administration of business licensing services provided by clerks.
- ***Other Official Records*** – This application supports the Clerk of Court in his/her efforts to maintain other records as requested.
- ***Land Records*** – This existing application supports the Clerk of Court in maintaining land records.

### ***Business Management***

These business management applications aid the AOC and the courts with administrative and management duties and are considered outside the boundaries or scope of the project.

- ***Budgeting*** – This supports activities to develop capital and operating budgets. It also supports timely reporting and analysis of performance against budget.
- ***General Ledger and Accounts Payable Accounting*** – This involves the activities associated with (1) financial management, recordkeeping and reporting functions commonly performed at the end of an accounting period (e.g., daily, weekly,

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<sup>7</sup> The TOB may consider including bolded items in scope.

monthly); (2) payment for the commercial obligations of the court; (3) ongoing functions; and (4) fund transfers between the courts and other agencies.

- *Asset Management* – This involves tracking and management of the capital assets of the courts and the AOC.
- *Human Resources and Payroll* – This involves administrative personnel functions with performance, employee resource management, and resource planning. It also supports payroll administration and accounting.
- *Rules Committee* – This application facilitates rule changes, approval, and implementation.
- *E-Bar* – This application facilitates creation, practice, exams and grading for the bar exam and management of bar association member records.

## **V. Project Conditions**

## V. Project Conditions

As projects are planned and executed, some facts and issues are known, others must be estimated. It is necessary to manage and mitigate using informed assumptions, issues, risks, and constraints. The project team has identified the following conditions:

### A. Project Assumptions

The project team has identified the initial assumptions made that will impact the ISCMS project. These assumptions have been organized into three categories: Technical, Project, and Business.

- Strategic.
  - » Court records will be 100 percent electronic.
  - » Existing paper records and paper records of active cases will not be converted unless the case is reopened.
  - » The courts will perform Differentiated Case Management with automated workflow management applications.
  - » The courts will collect fees both electronically and manually.
- Technical.
  - » JIS will completely define the IT EA prior to implementation (modifications may occur as final product is defined).
  - » The resulting ISCMS may include a combination of custom and off-the-shelf software.
- Project.
  - » Sufficient and sustained funding and resources will be made available for the project.
  - » Sufficient leadership support will be secured to ensure success.
  - » Project staff resources will be available when and as they are needed.
  - » Deliverables will be subject to no more than a specific number of review cycles.
  - » Issues will be resolved in a timely manner.
  - » The project organization described in the project plan will be put in place.
  - » The scope of the project will be limited to that described in the Project Charter.

- » Formal charter and scope change procedures will be followed.
- » The mitigation plans for the risks identified in the charter will be accepted.
- Business.
  - » The system will conform to all applicable Maryland Rules.
  - » The transfer of court records will be maintained on electronic media,
  - » Current and future cases will be maintained electronically. All closed cases will remain on paper until the Judiciary receives a request for those paper records.

## B. Project Issues

The project team has identified some preliminary issues that must be resolved prior to initiating the implementation of the ISCMS. MTG has assigned priorities to each issue. The following defines how priority was assigned to each issue:

- *High* – High-priority/critical-path issue; requires immediate follow-up and resolution.
- *Medium* – Issue requires follow-up before completion of next project milestone.
- *Low* – Issue to be resolved prior to project completion.
- *Closed* – Issue resolved.

### Project Issues

Description	Owner	Status and Resolution	Priority
The management structure has not been defined for the implementation of the business process changes.	AOC	<b>Status:</b> Pending. <b>Resolution:</b> <ul style="list-style-type: none"> <li>● Define the management structure for the implementation.</li> <li>● Assign roles and responsibilities to each member and define a decision resolution process.</li> <li>● Communicate roles and responsibilities.</li> </ul>	High
A clear vision has not been established for the implementation of the business process changes.	AOC	<b>Status:</b> In process. <b>Resolution:</b> <ul style="list-style-type: none"> <li>● Draft a vision statement and document for the implementation of the ISCMS.</li> </ul>	High

Description	Owner	Status and Resolution	Priority
		<ul style="list-style-type: none"> <li>Communicate the vision document to all stakeholders.</li> </ul>	
<p>A determination needs to be made regarding how this capital project will be funded.</p>	AOC	<p><b>Status:</b> Pending.</p> <p><b>Resolution:</b></p> <ul style="list-style-type: none"> <li>Draft capital budget.</li> <li>Identify funding sources.</li> <li>Dedicate funds to the project.</li> </ul>	High
<p>Long-term operational funding of IT is in flux.</p>	AOC	<p><b>Status:</b> Pending.</p> <p><b>Resolution:</b></p> <ul style="list-style-type: none"> <li>Draft operational budget.</li> <li>Confirm cost-sharing approach.</li> <li>Implement funding approach.</li> </ul>	High
<p>A decision to build or buy needs to be determined.</p>	AOC, JIS	<p><b>Status:</b> In process.</p> <p><b>Resolution:</b></p> <ul style="list-style-type: none"> <li>Identify consistent criteria for making a buy-versus-build decision.</li> <li>Apply criteria to the applications in scope of the ISCMS project.</li> <li>Where the decision is not distinct, solicit “best solution” proposals from the vendor community.</li> <li>Finalize decision to build or buy.</li> </ul>	Medium
<p>The organization responsible for the implementation must be defined.</p>	AOC	<p><b>Status:</b> Resolved.</p> <p><b>Resolution:</b> The AOC and its IT organization (JIS) have executive responsibility for this project. The Advisory Committee and TOB have oversight responsibility.</p>	High
<p>Implementation of ISCMS may change how court IT support is provided and funded in certain counties.</p>	AOC Montgomery County, Prince George’s County, and Baltimore City	<p><b>Status:</b> Pending.</p> <p><b>Resolution:</b> The AOC will work with county and court leadership to define how IT support will be provided and funded.</p>	High

### C. Project Risks

There are risks and general difficulties associated with a successful implementation of process automation. Not planning for the management of these risks and difficulties will put ISCMS at risk. The items below are risks that were identified in the JIS Organizational and Technical Assessment and the Assessment of Business Processes and Workflows of the Maryland Courts.

The Maryland Judiciary should begin to tackle the risks and difficulties for ISCMS, with a goal of making a determination of how to manage each. EXHIBIT III, beginning on the following page, comprises the following columns:

- *Item* – The risk or difficulty for ISCMS.
- *Suggested Ownership* – The organization or team in the Judiciary that should own the risk or difficulty and its handling.
- *Suggested Approach* – The approach that appears to be most suitable to apply the proposed strategy to manage the risk or difficulty.

To help address all the risks identified in the exhibit, the AOC is employing independent verification and validation services.

### D. Project Constraints

This project's constraints are reflected throughout the various sections of this charter. The most significant constraints are outlined below.

- *Funding* – Funding for this effort will be constrained to a specific capital budget.
- *JIS Capacity* – JIS has limited staff capacity to handle the implementation and support of the ISCMS.
- *Court Capacity for Change* – The courts have limits on their ability to modify their operations and organization within any specified time frame.
- *Justice Partner Capacity for Change* – Likewise, the courts' justice partners (e.g., the bar association, local law enforcement) have limits on their ability to modify their operations and organization within any specified time frame.
- *Changes to Rules and Laws* – Some existing rules and laws may need to change in order to implement ISCMS. The project will be limited by the speed with which these changes can be made.

These constraints are significant in that they can impact the scope and schedule for the implementation of ISCMS. While they are factored into plans for the system, changes in these constraints can provide a significant impact on project success.

MARYLAND ADMINISTRATIVE OFFICE OF THE COURTS  
CASE MANAGEMENT SYSTEM REPLACEMENT

**TABLE OF RISKS**

Item	Suggested Ownership	Suggested Approach
The current IT Management Plan is not detailed enough to manage tasks and development activities and it does not assign accountability for meeting project objectives.	JIS	<ul style="list-style-type: none"><li>• Draft strategic and tactical plans for ISCMS.<sup>1</sup></li><li>• Actively employ management controls.<sup>1</sup></li><li>• Execute the plans and measure performance.</li></ul>
Few JIS staff members have experience with the technologies outlined in the target EA, and JIS has had to outsource much of the development and implementation of this architecture.	JIS	<ul style="list-style-type: none"><li>• Establish and affirm target EA.<sup>1</sup></li><li>• Train and assign staff to work in the target architecture.<sup>1</sup></li><li>• Wind down investment in legacy application modifications.<sup>1</sup></li></ul>
JIS has found it difficult to force vendors to conform to the standards for the target architecture.	JIS	<ul style="list-style-type: none"><li>• Establish Architecture Control Board and ancillary management mechanisms.<sup>1</sup></li></ul>
The JIS approach to migration is not based on up-front client direction and current, client-evaluated requirements.	JIS	<ul style="list-style-type: none"><li>• Establish representative user group to review and approve requirements, designs, documentation, and applications.</li><li>• Employ business-based subject matter experts (SMEs) in the project.</li></ul>

<sup>1</sup> Effort has already been initiated.

Item	Suggested Ownership	Suggested Approach
Change management resources and processes in the courts is inadequate to meet the needs resulting from the implementation of ISCMS.	Advisory Committee and/or State Court Administrator	<ul style="list-style-type: none"> <li>• Develop a communications plan that encourages shared ownership among all courts and particularly in the circuit courts which operate a local CMS such as Baltimore City, Montgomery County, and Prince George's County.</li> </ul>
Current rules and administrative orders do not provide optimal automation support.	Data Definitions and/or JIS	<ul style="list-style-type: none"> <li>• Develop usage scenarios (electronic case file, e-filing, e-service, e-access, e-noticing, and access to justice portal).</li> <li>• Identify rules and statutes that would require adjustments if scenarios were implemented.</li> <li>• Develop and recommend to the state court administrator a rule change schedule.</li> <li>• Draft, vet, and implement the rule change schedule.</li> </ul>
Maryland Judiciary and Maryland AOC are dependent on justice partners.	State Court Administrator	<ul style="list-style-type: none"> <li>• Engage partner representatives early in the design and implementation of ISCMS.</li> <li>• Design for variations in partner collaboration.</li> <li>• Provide information, tools, and training on ISCMS to partners.</li> <li>• Obtain buy-in.</li> </ul>
Identifiers are insufficient and there are a number of data issues.	Data Definitions Committee	<ul style="list-style-type: none"> <li>• Provide a logical model of information building blocks so that JIS can integrate the model with the EA.</li> </ul>

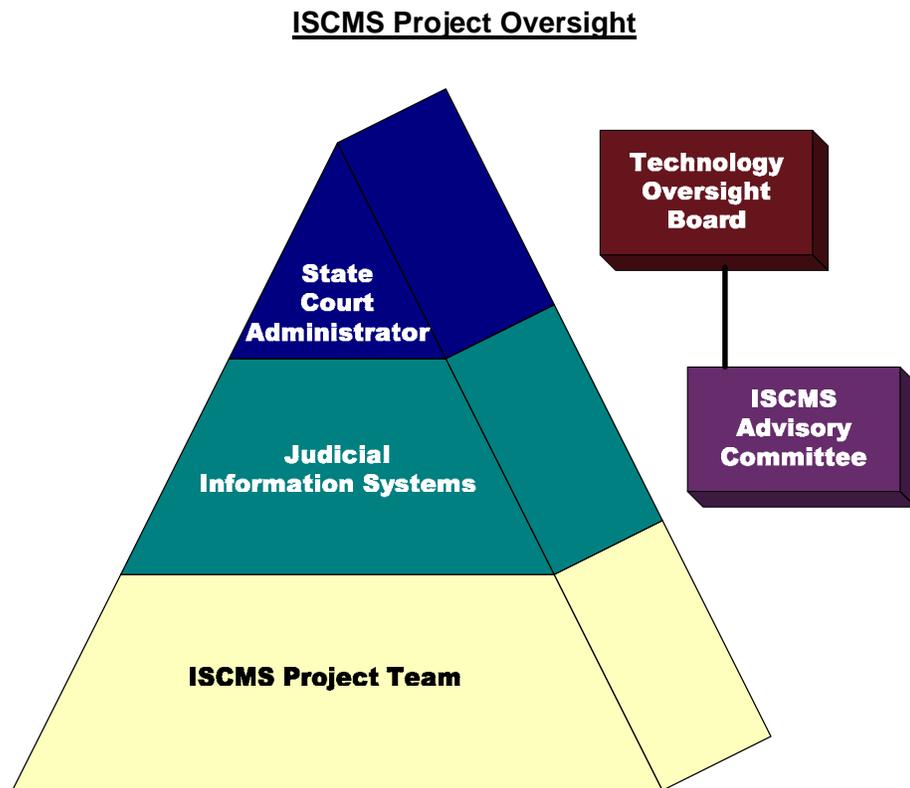
Item	Suggested Ownership	Suggested Approach
Current exchange standards are insufficient.	JIS	<ul style="list-style-type: none"><li>• Research and identify exchange standard options.</li><li>• Determine the best option, considering national court standards, executive branch and other justice partner standards, and JIS expertise.</li><li>• Obtain approval from the Architecture Control Board.</li><li>• Publish the standard for the justice partners.</li></ul>
There is no central knowledge of all applicable business rules.	Data Definitions Committee	<ul style="list-style-type: none"><li>• Draft business rules list, using JIS knowledge and Prince George's County, Baltimore City, and Montgomery County SMEs.</li><li>• Overlay rules onto processes.</li><li>• Review rules with AOC legal counsel.</li></ul>

## **VI. Project Oversight and Authority**

## VI. Project Oversight and Authority

This section describes the project oversight and authority for the ISCMS project. It is also intended to provide a common understanding of the various roles and responsibilities of project oversight in relationship to other governance in the project. Understanding the perspectives of different roles between project management and project oversight is critical to the management of the project.

There are multiple levels of oversight that will be involved in the ISCMS implementation project. The following diagram illustrates the hierarchal involvement of these entities:



- *State Court Administrator* – The State Court Administrator will provide direction to JIS and ensure that the project fulfills its stated objectives. The State Court Administrator will assist the ISCMS Advisory Committee and the TOB in making key strategic decisions regarding the project and in resolving any issues that impact the stakeholders.
- *JIS* – JIS is the principal body responsible for the oversight of the design, development, acquisition, maintenance, and integration of the ISCMS system and will provide direction to the project team and ensure that the project fulfills its stated objectives.

- *Project Team* – The project team is responsible for the execution of tasks and production of deliverables as outlined in the Project Plan and directed by the State Court Administrator and JIS, at whatever level of effort or participation has been defined for them. The project team may consist of members from JIS, one or more vendors, and members of the court business community.
- *Technology Oversight Board* – The TOB provides advice and guidance regarding technology projects and is responsible for design, implementation, and management of the strategies used in the ISCMS implementation project for the courts.
- *ISCMS Advisory Committee* – This committee will act as the steering committee for the ISCMS project and will actively help to remove obstacles and solve problems that are beyond the control of the project team. It will be responsible for identifying any conflicts between organizational policies, standards, relevant external requirements, and/or project objectives, etc. In addition, this committee will identify business practices that may adversely impact the project's ability to successfully meet its objectives, and will propose methods, take action, and possibly assign additional resources to resolve any conflicts between organizational policies, relevant external requirements, project objectives, etc.

## **Appendix A**

### **Glossary of Acronyms**

## Appendix A – Glossary of Acronyms

Term	Definition
ADR	Alternative Dispute Resolution
AOC	Administrative Office of the Courts
CCB	Change Control Board
COSCA	Conference of State Court Administrators
CSF	Critical Success Factor
CMS	Case Management System
DPSCS	Department of Public Safety and Correctional Services
EA	Enterprise Architecture
ISCMS	Integrated Statewide Case Management System
JIS	Judicial Information Systems
LOB	Line of Business
NACM	National Association for Court Management
SME	Subject Matter Expert
TOB	Technology Oversight Board
UCS	Unified Case System