Feasibility Study for a Data and Document Exchange Capability Between CSE Agencies and Courts

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1. EXECUTIVE SUMMARY

This feasibility study examines the viability of an electronic data and document exchange capability between state Child Support Enforcement (CSE) agencies and their respective courts. The intent of an electronic exchange capability is to benefit states by saving time and improving the accuracy of data and documents exchanged.

1.1 REQUIREMENTS DEFINITION

This feasibility study was conducted in two phases. During the first phase, requirements for a data and document exchange capability were defined. Numerous documents and background materials influenced the requirements specified in this study, particularly the proposed child support document type definition (DTD) created by the child support XML workgroup. In addition, a representative sample of states and courts were surveyed to determine the level of automation that exists, how data and documents are currently exchanged, how states and courts would like to exchange information, and the possible benefits of an electronic exchange capability. The many state and court individuals who participated in this study are commended and sincerely thanked for their time and effort.

This study documents basic requirements that must be met for the achievement of a successful interface/exchange. Requirements are identified for the following categories:

- Data – includes case, person (obligor, obligee, and child[ren]), financial, and event
- Processing
- Technical
- Organizational
- Operational
- Legacy System Modification

These requirements are not detailed systems development requirements, but were used as factors for evaluating various alternatives for accomplishing the objective of a specific exchange of information between states and courts.

1.2 ALTERNATIVES AND COST/BENEFIT ANALYSIS

Alternatives were derived from further analysis of the current best practices from states and courts. Alternatives were assessed against the requirements to determine their feasibility. Each alternative was also assessed for its suitability to support interstate exchange. The alternatives described and evaluated in this study are:

- XML-based interface
- Traditional system-to-system interface (Colorado based)
- Imaging (Washington based)

While developing a detailed cost/benefit analysis for the identified alternatives is not possible due to the many variables that are unique to each state and court, a general comparison of costs is presented. In addition, alternatives were assessed against a standard list of possible benefits.

1.3 FINDINGS

A solution employing XML is deemed the preferred solution for exchanging data and documents between CSE agencies and their courts. An XML solution best meets the requirements specified in this study, is less expensive relative to the other alternatives evaluated, and provides the best possibility for extension to interstate data exchange. Several activities are recommended for states to complete if they wish to pursue any data and document exchange solution. First and foremost is completing a detailed cost/benefit analysis that considers all the variables unique to a state and court, including staffing, technical environment, training, and operational commitment. Due to the sluggish economy and state budgets stretched to the maximum, a comprehensive assessment is needed to justify the pursuit of any solution.

To pursue an XML solution, recommended next steps include the following:

- Pursue continuation of the work completed to date by the child support XML workgroup to expand the draft DTD. Use the XML DTD as a guide and build a "palette" based on the data available in this study, data elements from CSENet, information identified and defined by the Interstate Workgroup, and more.

- Select three states and complete detailed cost/benefit analyses to further validate the XML endorsement reflected in this study.

OCSE may also consider pursuing opportunities to provide XML exposure to states via training courses, conference presentations and workshops, and materials available on the OCSE website.

2. INTRODUCTION

The Office of Child Support Enforcement (OCSE) contracted with the State Information Technology Consortium (SITC) to complete a feasibility study for a data and document exchange capability between state Child Support Enforcement (CSE) agencies and their respective courts. The primary objective of this task is to determine the viability of an electronic data and document exchange capability, given the current level of automation that exists within the courts. The intent is to benefit states by saving time and improving the accuracy of data and documents exchanged between state CSE programs and the courts. For example, if all parties could agree that specific transmitted information serves as a court order, staff would not have to wait for a paper copy of the court order prior to case prosecution.

2.1 BACKGROUND

The SITC Statement of Work mentions the effort of a workgroup – composed of state, court, and Federal staff – focused on exchanging information with and between state CSE agencies and their respective courts using XML (eXtensible Markup Language). This workgroup analyzed the current electronic court filing standard to determine if the standard could support the data needed for court filing by child support agencies, as well as the data that courts send back to child support agencies. A draft document type definition (DTD) specification was prepared under a Special Improvement Project (SIP) grant awarded to the National Center for State Courts (NCSC) by OCSE. The intent of this working group was to produce a draft standard within the Court Filing Work Group of LegalXML for formal adoption through the Conference of State Court Administrators and the National Association for Court Management. At this time, the costs of an electronic data and document exchange capability have not been weighed against the benefits. It may or may not be beneficial to wait until the court systems become more automated.

2.2 APPROACH

This study of the feasibility of a data and document exchange capability between state CSE agencies and their respective courts was conducted in two phases. The initial phase focused on conducting research and analysis of current file transfer technologies, business needs met by such a transfer, best practices from selected states, and previous work completed by court, state, and Federal workgroups. The principle output from the initial phase was basic requirements that must be met for the achievement of a successful interface/exchange of information between the states and their courts. The requirements provided in this report are not to be considered as detailed systems development requirements. They are to be used as factors for evaluating various alternatives for accomplishing the objective of a specific exchange of information between states and courts. The requirements are grouped into two basic categories. The first category, Alternative Specification Requirements, includes data, processing and technical requirements of each alternative. The second category, Alternative Feasibility Requirements, includes organizational, operational and legacy system modification requirements that are considered to be overarching requirements and apply to the feasibility assessment of each alternative. The requirements are provided in Section 3 of this document.

The second phase of the effort focused on identifying and describing alternatives for achieving information exchange in a standard manner that would facilitate evaluation. The alternatives were derived from further analysis of the current best practices from states and industry best practices in the

use of new technology to accomplish information exchange. The alternatives were assessed against a set of criteria (derived from the requirements) and their level of feasibility is documented in this study. Each alternative was assessed for cost and benefit. The cost/benefit analysis is documented at a general level since specific costs for each state and court are dependent on their current situation relative to automation.

As part of completing this study, research was conducted and a representative sample of states and courts were surveyed to determine the level of automation that exists, how data and documents are currently exchanged, and how states and courts would like to exchange information. A facet of this research was also to identify the benefits to states of an electronic data and document exchange capability. The survey information was used to derive requirements as well as evaluate best practices to support alternative development. To effectively conduct these interviews, a structured interview guide was developed (presented in Appendix A). The interview guide contains questions that directly contributed to this deliverable, as well as assisting in the alternatives analysis and cost/benefit analysis. Appendix B contains a summary table as a quick reference for each of the interviews and corresponding analysis and Appendix C contains the interview notes. The many state and court individuals who participated in this study are commended for their time and effort.

Additionally, during the information gathering process, documentation and background material was reviewed. Information contained in this deliverable reflects data collected from documentation provided by OCSE and the National Center for State Courts.

The following is a list of documentation used for the study:

- Volume 3 – Domestic Relations Case Processing System Functional Standards, November 26, 2001

- OASIS LegalXML Member Section Electronic Court Filing Technical Committee DRAFT Electronic Court Filing 1.1 Proposed Standard, July 12, 2002

- Draft for Consideration by National Consortium for State Court Automation Standards and COSCA/NACM Joint Technology Committee, Standards for Electronic Filing Processes, July 12, 2002

- Georgia Courts Automation Commission Court Filing Interoperability Pilot Lessons Learned Document, December 4, 2001

- Georgia Courts Automation Commission Court Filing Interoperability Pilot Lessons Learned Document II, May 20, 2002

- Electronic Filing of Court Documents, by Judge (Ret.) Arthur M. Monty Ahalt, April 1999

- Colorado documentation on automation of limited case registry and payment processing

- National Task Force on Court Automation and Integration, Court Technology Survey Report, October 18, 2001 (this is the National Survey of Court Information Technology Status document specified in the SITC Statement of Work)

- General Overview and Background Child Support XML Standards, February 22, 2002

- Draft Child Support XML Specification for IV-D Agency Review, February 22, 2002

2.3   ASSUMPTIONS

The following assumptions were made in the development of the requirements analysis and feasibility study:

- No preconceived opinion on the best alternative for the information exchange

- Multiple technologies that can satisfy the requirements are evaluated

- Not all alternatives meet all requirements

- Each state has a unique relationship with their respective courts and each alternative will not necessarily be applicable for all states and their courts

- Documentation for this study was analyzed for the purpose of defining requirements and alternatives

3. REQUIREMENTS DEFINITION

3.1 OVERVIEW OF THE BUSINESS PROCESS

A basic understanding of the business requirements between the states and their courts is a critical baseline for the requirements definition. It is important to have a basic understanding of the interaction between state CSE agencies and courts. Knowing that technology can provide the ability to pass almost any information back and forth is not the objective of the exchange/interface. To clarify the basic business process framework applicable to the exchange requirements, a brief generic description of the state and court business processes relevant to this study is provided below. The exchange must be able to support the basic business flow between CSE agencies and the courts.

CSE case processing begins with intake or case initiation, which includes receipt and processing of applications received from non-TANF clients and receipt and processing of TANF referrals. The CSE agency caseworker makes a determination of services required at the time of application or referral.

Basic areas where the CSE agency interacts with the courts include:

- Establishment – Paternity and Orders

- Order Enforcement

- Review and Adjustment

Another area to consider is interstate information exchange. The capability to electronically share information state to state to expedite interstate case processing is another facet of consideration for this study.

3.1.1 ESTABLISHMENT

Establishment is the function by which paternity, child support orders and/or medical support orders are established. Paternity can be established via voluntary acknowledgement or via court-ordered paternity testing. Paternity can also be adjudicated. Child support and medical support orders are established by the courts or, in administrative-process states, by an executive agency rather than by courts and judges. The child support order can dictate frequency, amount, type of support, duration, and whether wage withholding is mandated. Medical support orders specify how children are provided with health insurance coverage. Child support order amounts are based on child support guidelines, which are income-based formulas that vary by state.

3.1.2 ORDER ENFORCEMENT

Enforcement of support orders is the application of remedies to obtain payment of an obligation contained in a support order. Examples of remedies include wage withholding, asset seizure, liens, license revocation, and U.S. passport denial.

3.1.3 REVIEW AND ADJUSTMENT

Review and adjustment is the process in which current financial information is obtained from both parties in a child support case and evaluated to determine if a support order needs to be adjusted. Reviews occur according to a recommended review cycle but can also occur upon the request of either party. For TANF cases, reviews can occur upon the request of either party or the CSE agency.

3.1.4 INTERSTATE INFORMATION EXCHANGE

Interstate cases, where the dependent child(ren) and non-custodial parent live in different states (or where two or more states are involved with some case activity), require states to exchange case data, such as financial, court order, and case status information. Because of our mobile society, approximately one third of all child support cases involve parents living in different states. Interstate cases represent approximately 20-30% of the total child support caseload but only 10% of collections. By providing CSE agencies nationwide with a way to exchange information efficiently, states would have the tools necessary to expedite the enforcement of orders in interstate cases and improve the current collection ratio.

3.2 EXCHANGE/INTERFACE REQUIREMENTS

The scope of what is being exchanged between the states and courts has as its foundation the process flow within the state CSE agencies and the courts. There are and always will be unique aspects to the CSE business within both the state and court environments. The diagram below depicts in a simple manner the scope of the exchange. Some of the work already completed by various committees and workgroups indicates that not all of the common data could be exchanged. However, other sources within the states have indicated that a broader set of data should be the scope of the exchange.
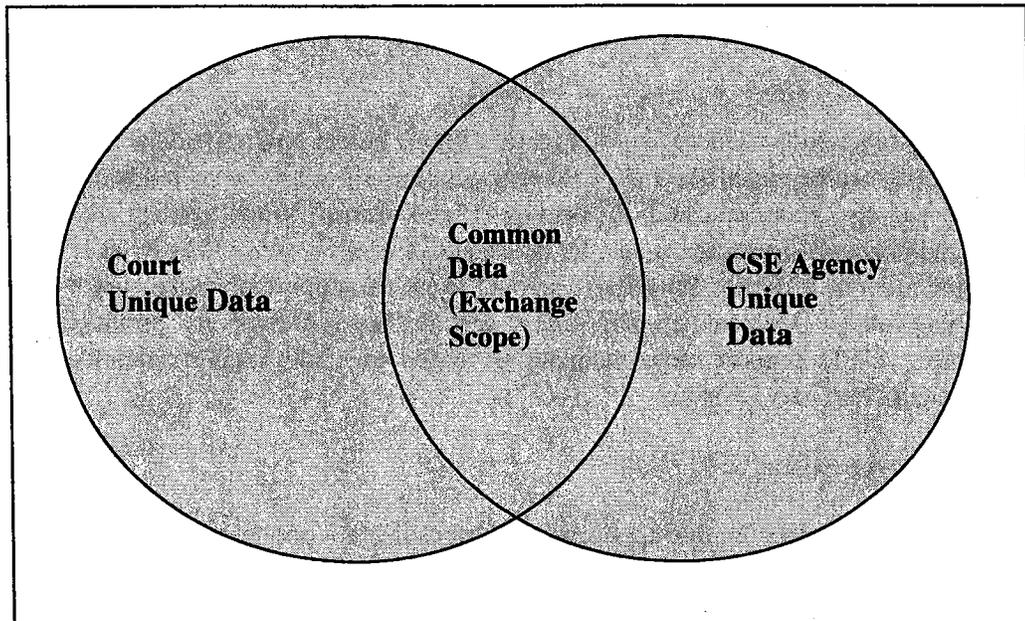
The requirements for the CSE agency/court exchange/interface are described below. The requirements are documented using the following categories:

- Alternative Specification Requirements

    – Data Requirements

    – Processing Requirements

    – Technical Requirements

- Alternative Feasibility Requirements

    – Organizational Requirements

    – Operational Requirements

    – Legacy System Modification Requirements

It is important to recognize that the requirements are documented to support the assessment of the feasibility of alternatives for the exchange/interface and not for the development of the exchange/interface. The requirements presented here are not intended to be used by a given state or court to implement a state/court interface. Studies have already been conducted that indicate the technology to exchange documents and data is available. The requirements identified as part of this effort focus not so much on **can** we exchange data in an automated manner, but **should** we exchange the data in an automated manner **at this time**. Therefore, the feasibility assessment of a given alternative that meets the requirements is based on more than just technology.

3.2.1 ALTERNATIVE SPECIFICATION REQUIREMENTS

3.2.1.1 Data Requirements

Requirements for the exchange/interface between the CSE agency and the courts pertaining to data are provided in this section. The data elements were extracted from the interviews conducted and from materials obtained from OCSE and the National Center for State Courts. Specifically, the data elements incorporate those specified by the XML workgroup and documented in the Draft Child Support XML Specification. These inputs have been analyzed; the resulting list of data requirements reflects the summation of this analysis.

Requirement 1: The exchange/interface must be able to handle data that is structured both by case and person. The source and destination systems are either case oriented or person oriented, which means that the basic processing unit is either the case or the persons involved in the case. The basic data groups provided below are generic so as to represent both case and person oriented situations.

Case Data

DATA ELEMENT	DESCRIPTION
Docket Number (Court Case Number)	The number assigned to the case filed in a particular court. Also called a case number.
Order Commencement Date	The date that obligations start to accrue.
Date of Order	The date on which the order was established.
Order Action	Indicates if an order is a request from a CSE agency for an order of the court or a Court Action, indicating an executed order from the court.
Order Category	Category of order, including Establish, Modify, Enforce, Modify and Enforce, Vacate.
Order Type	Type of order, child support or paternity.
Non Monetary Order	Details of the order in which payments are not required.
Monetary Order	Details of the order requiring payments (including maintenance, alimony, medical payments, health insurance, etc).
Order Payor	Name of person required to make the payment(s).
Order Payee	Trustee(s) for the payment; may include Child Support Agency, custodial parents, or direct payments to schools or doctors or other.
Obligation Type	Type of obligation can be monetary or non-monetary, including attending counseling with a child, submission to blood test, one-time payment, arrearage payment, or regular monthly payment.
Amount of Child Support Due	The final decision of the court, resolving the dispute; an opinion; an award.
Frequency of Child Support Payment	The frequency of child support payment (e.g. Weekly, Bi-weekly, Semi-monthly, Monthly, Quarterly, Semi-annually, Annually).
End Date/Duration	End date or duration of obligation (e.g. high school graduation).

Person Data – Obligor

DATA ELEMENT	DESCRIPTION
Obligor Name • First Name • Middle Name • Last Name	Name (as of time order was issued) of the person owing the duty of support. Also referred to as the non-custodial parent.
Obligor Suffix (Title)	The name suffix (as of time order was issued), e.g., Jr., of the obligor.
Obligor Now Known As Name • First Name • Middle Name • Last Name	Current name of the person owing the duty of support. Also referred to as the non-custodial parent.
Obligor Now Known As Suffix (Title)	The current name suffix, e.g., Jr., of the obligor.
Obligor Home Address	Home address of the obligor.
Street Address (line 1)	Line 1 of the street address for the obligor.
Street Address (line 2)	Line 2 of the street address for the obligor.
City	City for the obligor.
State	State code for the obligor.
Zip Code 1	The first five digits of the Zip Code for the obligor.
Zip Code 2	The last four digits of the Zip Code for the obligor.
Obligor Office Address	Office address of the obligor.
Street Address (line 1)	Line 1 of the street address for the office of the obligor.
Street Address (line 2)	Line 2 of the street address for the office of the obligor.
City	City for the office of the obligor.
State	State code for the office of the obligor.
Zip Code 1	The first five digits of the Zip Code for the office of the obligor.
Zip Code 2	The last four digits of the Zip Code for the office of the obligor.
Obligor Social Security Number	Social Security Number for the obligor.
Obligor Date of Birth	Date of Birth (e.g., MMDDYYYY) of the obligor.
Obligor Home Phone Number	Home contact phone number for the obligor.
Obligor Office Phone Number	Office contact phone number for the obligor.
Obligor Email	Email address of the obligor.
Obligor Gender	Gender code for the obligor (e.g., M, F).
Obligor Attorney Name • First Name • Middle Name • Last Name	Name (as of time order was issued) of the attorney of the obligor.
Obligor Attorney Bar Number	Obligor attorney's bar number.
Obligor Attorney License Authority	Obligor attorney's License Authority.
Obligor Attorney Year Admitted to Bar	Obligor attorney's year admitted to the bar.
Obligor Attorney Bar Status	Obligor attorney's bar status (e.g. active, inactive).

Person Data – Obligee

DATA ELEMENT	DESCRIPTION
Obligee Name • First Name • Middle Name • Last Name	Name (as of time order was issued) of the person to whom a duty of support is owed. Also referred to as the custodial parent when money is owed to the parent who resides with the child.
Obligee Suffix (Title)	The name suffix (as of time order was issued), e.g., Jr., of the obligee.
Obligee Now Know As Name • First Name • Middle Name • Last Name	Current name of the person to whom a duty of support is owed. Also referred to as the custodial parent when money is owed to the parent who resides with the child.
Obligee Now Known As Suffix (Title)	The current name suffix, e.g., Jr., of the obligee.
Obligee Home Address	Home address of the obligee.
Obligee Street Address (line 1)	Line 1 of the street address for the obligee.
Obligee Street Address (line 2)	Line 2 of the street address for the obligee.
Obligee City	City for the obligee.
Obligee State	State code for the obligee.
Obligee Zip Code 1	The first five digits of the Zip Code for the obligee.
Obligee Zip Code 2	The last four digits of the Zip Code for the obligee.
Obligee Office Address	Office address of the obligee.
Obligee Street Address (line 1)	Line 1 of the street address for the office of the obligee.
Obligee Street Address (line 2)	Line 2 of the street address for the office of the obligee.
Obligee City	City for the office of the obligee.
Obligee State	State code for the office of the obligee.
Obligee Zip Code 1	The first five digits of the Zip Code for the office of the obligee.
Obligee Zip Code 2	The last four digits of the Zip Code for the office of the obligee.
Obligee Social Security Number	Social Security Number for the obligee.
Obligee Date of Birth	Date of Birth (e.g., MMDDYYYY) of the obligee.
Obligee Home Phone Number	Home contact phone number for the obligee.
Obligee Office Phone Number	Office contact phone number for the obligee.
Obligee Email	Email address of the obligee.
Obligee Gender	Gender code for the obligee (e.g., M, F).
Obligee Attorney Name • First Name • Middle Name • Last Name	Name (as of time order was issued) of the attorney of the obligee.
Obligee Attorney Bar Number	Obligee attorney's bar number.
Obligee Attorney License Authority	Obligee attorney's License Authority.
Obligee Attorney Year Admitted to Bar	Obligee attorney's year admitted to the bar.
Obligee Attorney Bar Status	Obligee attorney's bar status (e.g. active, inactive).

Person Data – Child (repeated for each child)

DATA ELEMENT	DESCRIPTION

Children Names
    • First Name
    • Middle Name
    • Last Name
	All children who have not reached the age of emancipation or been legally declared emancipated.

Children Street Addresses (line 1)	Line 1 of the street address for each child.
Children Street Addresses (line 2)	Line 2 of the street address for each child.
Children Cities	City for each child.
Children State's	State code for each child.
Children Zip Code 1	The first five digits of the Zip Code for each child.
Children Zip Code 2	The last four digits of the Zip Code for each child.
Children Social Security Numbers	Social Security Number for each child.
Children's Gender	Gender for each child.
Children Dates of Birth	Date of Birth (e.g., MMDDYYYY) for each child.

Financial Data

DATA ELEMENT	DESCRIPTION
Remitter Name	Name of Person/Organization (e.g. employer) remitting payments to the person entitled to receive the payments.
Remitter Contact Name	Name of person responsible for remitting the payments.
Remitter Street Address (line 1)	Line 1 of the street address for the remitter.
Remitter Street Address (line 2)	Line 2 of the street address for the remitter.
Remitter City	City for the remitter.
Remitter State	State code for the remitter.
Remitter Zip Code 1	The first five digits of the Zip Code for the remitter.
Remitter Zip Code 2	The last four digits of the Zip Code for the remitter.
Remitter Phone Number	Contact phone number for the remitter.

Event Data

DATA ELEMENT	DESCRIPTION
Court Calendar (scheduled events)	Scheduled events such as court appearance dates.

Requirement 2: The exchange/interface must employ cross-references (i.e. the capability to connect cases to participants).

Requirement 3: The source system fields must be mapped to the destination system fields with respect to format, data type, etc.

Requirement 4: Algorithms must be established to address variances in source and destination field attributes (for example, if the source system captures a 2-line address field and the destination system captures a 1-line address field, the interface has to recognize and remember those differences).

Requirement 5: The interface must have the ability to recognize and tag data items that are considered confidential.

3.2.1.2 Processing Requirements

Requirements for the exchange/interface between the CSE agency and the courts pertaining to processing are provided in this section.

Requirement 1: The exchange/interface must operate independently of the state and court systems (for example, if the interface fails, the CSE agency and court systems are not negatively impacted).

Requirement 2: The generation of the files to be exchanged must be completed without user intervention.

Requirement 3: Upon completion of an exchange, a record of the exchange must be generated (a complete audit of all transactions must be provided).

Requirement 4: The conversion of data from source to destination must be done without user intervention (no manual loading of data).

Requirement 5: The exchange/interface must be initiated based on triggers in the source system as well as by the request of state or court staff.

Requirement 6: Paper exchange of data will be reduced.

Requirement 7: The exchange/interface must be able to accommodate the data contained in the following documents and forms and also structure the data for exchange and presentation.

Documents

- Orders for Support

- Contempt Orders

- Default Orders

Forms

- Petitions to Establish Paternity & Support

- Petitions to Contempt

- UIFSA Petitions

- Depositions

- Continuances

- Service Process

3.2.1.3 Technical Requirements

Requirements for the exchange/interface between the CSE agency and the courts pertaining to the technical aspects of the interface are provided in this section.

Requirement 1: The exchange/interface must be hardware independent.

Requirement 2: The exchange/interface must be able to handle multiple source/destination hardware configurations.

Requirement 3: The interface development language must be open and interpretive.

Requirement 4: The exchange/interface must be able to handle multiple source/destination operating systems and database management systems.

Requirement 5: The exchange/interface will flag incomplete information if sent from the source system (for example, data requiring verification, authorization, and/or approval will not be exchanged unless flagged as being unverified).

Requirement 6: The exchange/interface must be self-describing (i.e. the structure and content together in each document).

Requirement 7: The exchanged document must be human readable (i.e. special tools must not be necessary for processing by computers).

Requirement 8: The exchanged documents must separate data from presentation.

Requirement 9: Any software used in the exchange/interface must not be proprietary.

Requirement 10: A mechanism of connectivity must be in place (such as the internet, intranet, network).

Requirement 11: A security infrastructure must be in place (such as firewalls, controlled access).

3.2.2 ALTERNATIVE FEASIBILITY REQUIREMENTS

3.2.2.1 Organizational Requirements

Requirements for the exchange/interface between the CSE agency and the courts pertaining to organization are provided in this section.

Requirement 1: A workgroup must be established to address standardization of interface exchange requirements, including but not limited to data, business rules, definitions, and forms.

Requirement 2: The workgroup needs to recognize the unique organizational structures of the state CSE agency and the courts (i.e. state vs. county-administered, judicial vs. administrative).

3.2.2.2 Operational Requirements

Requirements for the exchange/interface between the CSE agency and the courts pertaining to operations and on-going maintenance are provided in this section.

Requirement 1: Organizational responsibility for the operation and maintenance of the interface must be assigned/established.

Requirement 2: Resources beyond the initial implementation to support on-going operations and maintenance must be planned.

Requirement 3: Source and destination information technology (IT) organizations must take responsibility for maintaining the transaction file generation function.

3.2.2.3 Legacy System Modification Requirements

Requirements for the exchange/interface between the CSE agency and the courts pertaining to legacy system modification are provided in this section.

Requirement 1: The legacy systems must have the capability of creating the data set to be exchanged.

Requirement 2: The legacy systems must have the capability of accepting an electronic update without user intervention.

Requirement 3: The legacy systems must be able to accept both total record updates and partial record updates.

Requirement 4: The legacy systems must notify workers when the exchange/interface updates the database.

Requirement 5: The legacy systems must be able to edit for required data elements from the exchange/interface.

Requirement 6: The legacy systems must be able to report errors triggered by the interface.

3.3   SUPPORTING DOCUMENTS

To support the identification of the requirements and the definition and feasibility assessment of the alternatives, a number of already completed materials on the exchange of data between courts and state CSE agencies has been reviewed and analyzed. Some of the background material discussed below directly impacted the identification of specific requirements as well as the definition of alternatives.

3.3.1   NATIONAL TASK FORCE ON COURT AUTOMATION AND INTEGRATION, COURT TECHNOLOGY SURVEY REPORT

The National Task Force on Court Automation and Integration, Court Technology Survey Report (specified as the National Survey of Court Information Technology Status in the SITC Statement of Work) is one of the specific products included as background material for the feasibility study. This report was developed as a joint effort by:

- The Bureau of Justice Assistance

- Conference of State Court Administrators

- National Association for Court Management

- National Center for State Courts; and

- SEARCH

The study was conducted in cooperation with:

- National Consortium on Court Automation Standards

- COSCA/NACM Joint Technology Committee

- Forum for the Advancement of Court Technology Industry Working Group

The goals of the survey were:

- To identify what vendors believe they and the courts can do to enable vendors to do a better job of delivering information technology to the courts; and

- To identify what courts believe they and vendors can do to facilitate court procurement and use of information technology products.

In documenting requirements and alternatives for this document, no assumptions are made as to whether or not a vendor is to be used. Therefore, there is minimal value in this survey document related to the analysis reflected in this study. However, one of the critical factors in determining the feasibility of developing an exchange/interface between state CSE agencies and their courts is the status of court automation. More standardization exists on the state side in terms of automation. So, the findings of this report may prove valuable if an exchange/interface is developed and it is likely that modifications to the legacy court systems are required.

The entire survey report can be found in Appendix D.

3.3.2 GENERAL OVERVIEW AND BACKGROUND CHILD SUPPORT XML STANDARDS

The General Overview and Background Child Support XML Standards states as its purpose:

> "The purpose of this document is to provide a generalized, non-technical overview and background of XML and its use for child support information sharing with courts. It is intended for a non-technical audience with little or no knowledge of XML and the concepts underlying the use of the court's XML standards for sharing data between child support agencies and courts."

Several points are discussed in this document that apply to the effort of defining requirements and alternatives. The document focuses on XML as a solution for handling the complexity of passing data and documents between courts and state CSE agencies. This document builds on the backbone of work completed in defining electronic court filing standards. It extends the progress made in the development of court filing standards and examines the use of XML to go beyond just court filings and on to the exchange between courts and state CSE agencies. The authors conclude "the electronic court filing standard can generally support the needs of child support agencies, with the addition of some specific elements needed to fully transmit child support orders". This conclusion and its further discussion within

the document provided input to the identification of requirements and influenced the feasibility assessment of each alternative.

The document provides a brief overview of XML, a summary of the court filing standards, a discussion of the relationship between electronic filing and child support DTDs, and a quick guide to reading a DTD. This document was extensively used in the description of alternatives. The document also includes some "next step" recommendations, which were also considered as part of the assessment.

The basic architecture of the electronic court filing standard is the "legal envelope." It is proposed that this design could be used as the basis for the exchange between courts and state CSE agencies. The design is a three-part structure with:

- Section A presents basic data about the filing,

- Section B presents the lead document and attachments, and

- Section C presents data describing all persons, organizations, and businesses (actors) related to the case.

The design assumes generic data elements and minimal use of elements with specific coded values. The design is well considered and takes advantage of XML capabilities. It is limited in that some elements that are needed between courts and CSE agencies are not included and more work on the agreement between some specific codes and values still needs to be accomplished. It also recognizes the extreme complexity of standardization of elements on the court side and accepts that this is something that may impede broad implementation of the solution.

This is an alternative that must be considered. The work reflected here indicates that using XML is a viable technical solution for the exchange of data between courts and state CSE agencies. This document and the Draft Child Support XML Specification document were used as the basis for components of the alternative descriptions.

The entire document is provided as Appendix E of this report.

3.3.3   DRAFT CHILD SUPPORT XML SPECIFICATION FOR IV-D AGENCY REVIEW

The Source section of this document states:

> "The draft DTD specification was prepared under a Special Improvement Project (SIP) grant awarded to the National Center for State Courts by the US Department of Human Service Office of Child Support Enforcement, grant award number 90F10034. This work was conducted with a Courts/Child Support Work Group representing court and child support agencies appointed by the National Center for State Courts in September 2001."

Section 1.1 summarizes the overall purpose of the document:

> "The overall purpose of this specification was to provide a common structure for improved automated information and document exchange between participating child support enforcement agencies (CSEA) and courts by using common XML interfaces for

electronic filing of child support matters into courts and for receipt of court information and documents back to child support agencies from courts."

This document presents the analysis completed to support using the electronic court filing standard as the basis for an exchange between courts and state CSE agencies. It uses the concept of the "legal envelope" described in Appendix E and referred to above. Some key items defining the scope of the court/ state exchange include:

- Calculations included in the CSE systems are not included in the specifications,

- The complexity of the many entities involved in a case can be accommodated, and

- Service and notice information was determined to be a court concern.

The design presented here is both sound and practical. Many of the complexities of the exchange of data are dealt with by proposing a solution that minimizes their impact. The solution also recognizes that meeting some of the CSE agency data needs is not possible due to limitations on the court side. These limitations are addressed and there is mutual understanding that the initial iterations of the exchange will be limited.

One of the most powerful aspects to the proposal is the workgroup's discussion of specific business processes and business rules and how they fit into the exchange solution. This analysis further solidifies that the proposed use of XML is viable and can support the business needs (limitations are noted). The analysis has been reviewed and the workgroup's solution has been incorporated into the identification of requirements and the development of alternatives. The XML solution presented here is viable and considered as an alternative.

The entire document is provided as Appendix F of this report.

3.3.4 COURT AND CSE DATA CROSS REFERENCE AND DATA DICTIONARY

At the present time, SITC has not been able to locate this document, which is specified in the SITC Statement of Work.

3.3.5 CHILD SUPPORT XML STANDARDS REQUIREMENTS DOCUMENT

The Draft Child Support XML Specification for IV-D Agency Review cites a "separate initial child support requirements document delivered under the [SIP] grant [that] detailed specific child support case needs, idiosyncrasies, and mapped needed child support elements against the ECFS [Electronic Court Filing Standard]". At this time, SITC has not been able to locate this document. However, it is assumed that the general nature of the material contained in the document is covered by the requirements presented here in this deliverable.

4. ALTERNATIVES ANALYSIS

4.1 INTRODUCTION

This section presents alternatives to meeting the requirements identified in Section 3. The alternatives are identified and assessed against the requirements to determine their feasibility. The primary focus of the analysis is to understand the strengths and weaknesses of the different approaches and determine which scenario offers the best potential going forward. This approach provides states with options even though one or more of the alternatives may in fact be a better technological solution based on the requirements.

Each alternative is also assessed for its suitability to support interstate exchange although interstate exchange requirements are not specifically described.

The alternatives were derived from an assessment of previous work completed by the child support XML workgroup (described in Section 2) and from interviews with states and courts. The alternatives are:

1. XML-based interface

2. Traditional system-to-system interface (Colorado based)

3. Imaging (Washington based)

Additional alternatives were originally documented based on what some states are currently doing. However, when initial assessments were completed, these alternatives were determined not feasible for states to consider as viable options. For example, the Commonwealth of Pennsylvania has a unique organizational structure – the local IV-D agency is the agency of the court. All child support activities and court functions occur in one place. Thus, all child support transactions are completed via the Pennsylvania Automated Child Support Enforcement System (PACSES). Although this structure essentially eliminates the need for the exchange (since a single system is used), it is not realistic to assume that other states can reorganize to facilitate CSE agency and court information exchange in this manner.

4.2 ALTERNATIVE DESCRIPTIONS

Each of the three alternatives is described below. They are described in a standard manner that facilitates their assessment against the requirements.

4.2.1 ALTERNATIVE 1 – XML-BASED INTERFACE

4.2.1.1 General Description

This alternative encompasses the approach of the workgroup mentioned above to exchange information between courts and states based on the XML court standard. XML provides the ability to exchange information between different operating systems, computer applications and databases. A detailed description of the workgroup's approach is provided in Appendices E and F of this document.

4.2.1.2 Data Description

Since the data requirements presented in Section 3 of this document are based on the work previously completed in defining a DTD, this alternative is consistent with the requirements.

4.2.1.3 Processing Description

XML is the state-of-the-art means to exchange information between diverse hardware, operating system, and application software system environments. Using XML, the source computer takes the data (and separate formatting information as well) to be transmitted and converts it to XML. The XML file is transmitted to the destination computer and converted to the appropriate structure and format of that system. The benefit is that XML does not care about the source and destination environments. XML allows for the reduction of paper flow since it can build the data in any desired format, thus avoiding the exchange of paper documents. Also, user intervention on either end of the exchange is not required using XML since the instructions and presentation are also exchanged along with the data.

4.2.1.4 Technical Description

The greatest advantage in implementing an XML-based solution is that the source and destination hardware, operating system, and application system environments do not matter. This alternative does not require modifications to source or destination environments to ensure homogeneity in the exchange. However, this alternative does require some sort of connectivity (LAN, WAN, Internet) to exchange the file.

4.2.2 ALTERNATIVE 2 – TRADITIONAL SYSTEM-TO-SYSTEM INTERFACE (COLORADO)

4.2.2.1 General Description

Colorado has an automated interface with the courts. The Integrated Court On-line Network (ICON), the state's court case management system, interfaces nightly with the Family Support Registry (FSR) system (also known as the State Disbursement Unit or SDU). The FSR system is an extension of Colorado's Automated Child Support Enforcement System (ACSES), specifically focused on child support collections managed by the state's SDU. This system provides functionality that supports billing, payment processing, disbursements, income assignment issuance, and bank reconciliation.

4.2.2.2 Data Description

Since the data requirements presented in Section 3 of this document encompass the data elements exchanged via Colorado's system-to-system interface, this alternative is consistent with the requirements.

4.2.2.3 Processing Description

Court clerks enter information into ICON and the information is transferred by FTP to the CSE agency. When the court system sends a transaction to establish an account for a new order, a new case is automatically generated in the state's central registry. For a new case, no user intervention is required. For modifications to existing orders, user intervention is sometimes required to match data from the court system with the IV-D caseload. Approximately 60% of transactions are processed automatically. The data set includes 40-50 data elements.

Fields are marked mandatory or non-mandatory but desired. An exception report is returned to the court system nightly that indicates rejected records. Corrections are made the next day.

For IV-D cases, hard copies of the orders arrive at the local CSE office prior to the electronic transmission. For non-IV-D cases, hard copies of the orders are not required.

4.2.2.4 Technical Description

The FSR system is hosted on an AS400, and batch interface programs synchronize collections data between it and ACSES nightly. The ICON system is hosted on an AS400 also and uses a private TCP/IP frame relay network.

4.2.3 ALTERNATIVE 3 – IMAGING (WASHINGTON)

4.2.3.1 General Description

In 1987, a Central Regulations Law was passed requiring a central area for status updates for interstate referrals. As a result, the Division of Child Support (DCS) in the State of Washington began work to use imaging technology to receive and process child support orders from the county clerks. Imaging technology permits documents or forms such as court orders to be transmitted from the court to the CSE agency electronically. One of the primary benefits of this approach is the elimination of paper and expediting the time required to transmit the document by regular mail or courier. A description of the process flow and project status can be found in Appendix C as part of the interview documentation for the State of Washington.

4.2.3.2 Data Description

The electronic transmission of a child support order is the transmission of the document itself. This means that the process is similar to transmitting a fax or a photographic image over the Internet (a ".GIF" file). The significance of this is that the only benefit being achieved is the time delay avoided that is otherwise consumed in physically carrying/mailing the document to the intended recipient. The data and critical information within the document is not parsed or put into a format that software applications can use, either to store, reason on, or otherwise interpret the information content of the scanned document. However, Washington is investigating how to tag and transmit specific data elements contained in the order.

4.2.3.3 Processing Description

The Washington DCS Imaging System uses fax machines and scanners to transport child support orders from the courts to the State's Division of Child Support. This system was begun in 1987. At that time, which was pre-windows technology, the only technology available was fax machines. Fax machines were leased to all 39 counties and by 1997, 100% of all orders were transmitted directly to the state office using fax machines. Also in 1997, with the increase in volume of child support payment processing, imaging technology was installed to expedite the payment process. Because the Court Order Unit also wanted to utilize the benefits of imaging technology, a case archive system was built. The system was built on an infrastructure of imaging technology utilizing a phased process. For those counties using fax machines, the paper faxes were forwarded to a fax server. For those clerks who had imaging systems, they were

provided the capability to export directly into the state system. Fax machines are being replaced with scanners so that direct imaging will be available to all counties.

4.2.3.4 Technical Description

This alternative requires imaging hardware such as scanners. It also requires that all parties that are either transmitting or receiving information agree on the format of the electronic image (such as PDF, TIFF). In addition, the mechanism used to tag and extract the relevant data must be agreed upon (like XML). It also requires a connectivity capability (LAN, WAN) and all security issues must be addressed (such as firewalls).

4.3   COMMON REQUIREMENTS

There are characteristics separate from data, processing, and technology that are common to each alternative. These items, specified as alternative feasibility requirements, are provided in Section 3. Each of these items is required no matter what technology-based alternative a particular state and court may wish to pursue. These requirements must be considered, planned for, and resourced prior to development of any solution.

4.3.1   ORGANIZATIONAL REQUIREMENTS

A prerequisite for a successful implementation of an information exchange between CSE agencies and courts is the establishment of an organizational entity that deals with data standardization. Of the states interviewed, Colorado has the most mature and comprehensive model of such an organization. A workgroup, composed of CSE agency and court staff, standardized all child support forms statewide.

4.3.2   OPERATIONAL REQUIREMENTS

The necessity to plan for the maintenance of software once implementation is complete is often overlooked during automation projects. An interface that shares information between agencies and courts is dynamic. Additions or modifications will inevitably be required based on Federal, state, and/or court statutory or regulatory changes related to the Child Support Enforcement program. Ownership of, and responsibility for, the interface must be identified prior to implementation. In conjunction with the organizational requirements dealing with data standardization, court and state IT entities must be in a position to react swiftly to changing CSE requirements. Agreements need to be established between IT organizations so delays in the maintenance or enhancement of the interface are minimized. XML, for example, provides a relatively easy means for modifications but someone still has to make the changes.

4.3.3   LEGACY SYSTEM MODIFICATION REQUIREMENTS

Each state needs to assess current systems and determine what modifications are necessary to facilitate the data and document exchange.

4.4   ALTERNATIVE EVALUATIONS

Each of the three alternatives was evaluated against the requirements (described in Section 3). The evaluation of the alternative specification requirements is presented in a narrative manner as well as

summarized for each alternative and requirement. Additionally, a discussion of each alternative's interstate requirements is provided.

4.4.1 ALTERNATIVE SPECIFICATION REQUIREMENTS EVALUATION

In the following paragraphs, each of the alternatives is evaluated within the context of the data, processing, and technical requirements. Key strengths and weaknesses of each alternative are highlighted.

4.4.1.1 Alternative 1 – XML-based Interface

Data Requirements

With the exception of some additional data items derived from interviews with states, the XML-based solution meets or exceeds the data requirements. XML is designed to facilitate the flexible mapping of data employing maintainable cross-references. XML is a technology specifically designed for exchanging data between systems and environments independently from the hardware and software architectures of the source and destinations systems.

Processing Requirements

The XML solution has no weaknesses related to the processing requirements. As part of the court filing standard, it is proposed that for both sending information to and receiving information from the court, the CSE system provides both data and actual documents in electronic form. XML-formatted documents can thus be viewed electronically and the XML-tagged data can populate the court's and the CSE system's databases.

Technical Requirements

The technical requirements provided in Section 3 are synonymous with a description of XML. There is not a better solution in terms of meeting them. XML is specifically designed to be hardware and software independent. It is specifically designed so that the interface is human readable and self-describing. It is designed to separate data transfer from presentation application (i.e. word processor, web format). It can work as long as there is a communication path between the source and destination systems.

There does not appear to be any disagreement, from either the previously cited workgroup or the states interviewed under this project, regarding the suitability of an XML solution. XML has the underlying capabilities to best handle exchange of data between child support agencies and courts. From a technical perspective, XML is the best solution, since it is a tool set designed specifically for the needs of information exchange in complex and heterogeneous environments.

4.4.1.2 Alternative 2 – Traditional System-to-System Interface (Colorado)

Data Requirements

Since the data requirements presented in Section 3 of this document encompass the data elements exchanged via Colorado's system-to-system interface, this alternative is consistent with the requirements.

Alt 1 = XML-based interface

Alt 2 = Traditional system-to-system interface (Colorado based)

Alt 3 = Imaging (Washington based)

Requirements	Alt 1	Alt 2	Alt 3
Data:			
1. The exchange/interface must be able to handle data that is structured both by case and person. The source and destination systems are either case oriented or person oriented, which means that the basic processing unit is either the case or the persons involved in the case. The basic data groups are listed in Section 3.2.1.1.	1	1	2
2. The exchange/interface must employ cross-references (i.e. the capability to connect cases to participants).	1	1	1
3. The source system fields must be mapped to the destination system fields with respect to format, data type, etc.	1	1	2
4. Algorithms must be established to address variances in source and destination field attributes (for example, if the source system captures a 2-line address field and the destination system captures a 1-line address field, the interface has to recognize and remember those differences).	1	1	3
5. The interface must have the ability to recognize and tag data items that are considered confidential.	1	1	1
Total for Data	5	5	9
Processing:			
1. The exchange/interface must operate independently of the state and court systems (for example, if the interface fails, the CSE agency and court systems are not negatively impacted).	1	1	1
2. The generation of the files to be exchanged must be completed without user intervention.	1	1	3
3. Upon completion of an exchange, a record of the exchange must be generated (a complete audit of all transactions must be provided).	1	1	2
4. The conversion of data from source to destination must be done without user intervention (no manual loading of data).	1	2	3
5. The exchange/interface must be initiated based on triggers in the source system as well as by the request of state or court staff.	1	2	1
6. Paper exchange of data will be reduced.	1	1	1
7. The exchange/interface must be able to accommodate the data contained in the documents and forms (listed in Requirement 7) and also structure the data for exchange and presentation.	1	1	1
Total for Processing	7	9	12
Technical:			
1. The exchange/interface must be hardware independent.	1	3	3
2. The exchange/interface must be able to handle multiple source/destination hardware configurations.	1	3	2
3. The interface development language must be open and interpretive.	1	3	2
4. The exchange/interface must be able to handle multiple source/destination operating systems and database management systems.	1	3	2
5. The exchange/interface will flag incomplete information if sent from the source system (for example, data requiring verification, authorization, and/or approval will not be exchanged unless flagged as being unverified).	1	1	3
6. The exchange/interface must be self-describing (i.e. the structure and content together in each document).	1	3	1
7. The exchanged document must be human readable (i.e. special tools must not be	1	2	1

Requirements	Alt 1	Alt 2	Alt 3
necessary for processing by computers).			
8. The exchanged documents must separate data from presentation.	1	3	1
9. Any software used in the exchange/interface must not be proprietary.	1	1	3
10. A mechanism of connectivity must be in place (such as the internet, intranet, network).	1	1	1
11. A security infrastructure must be in place (such as firewalls, controlled access).	1	1	1
Total for Technical	11	24	20
Total for All Requirements	23	38	41

It is not particularly surprising that the XML alternative scored the best against the requirements. Many of the requirements were derived from sources that have examined and analyzed information exchange and had previously determined that XML is the "state-of-the-art" in terms of information exchange between disparate computer systems.

The other two alternatives essentially scored the same. The traditional exchange (Colorado based) scored better for data and processing while the imaging (Washington based) scored better for technical. Both alternatives 2 and 3 are mature solutions and are successful for their respective states. Their weaknesses vs. XML are primarily because they require more hard-coded interfaces and additional hardware or proprietary software. Both have considered enhancements using XML.

4.4.3 INTERSTATE

A data and document exchange capability between CSE agencies and courts could potentially be used to extend the range of information exchange among states. Any alternative considered must be extensible to meet this requirement. Each of the alternatives is assessed in the following paragraphs as to its conduciveness to extending from court-to-state to state-to-state.

4.4.3.1 Alternative 1 – XML-based Interface

For XML, the requirement to exchange case, financial, and court order information between states is not dissimilar to the requirement of sending the information between CSE agencies and their own courts. From a technical perspective, the challenge is to exchange information between different state CSE systems that have different hardware and software platforms. Since XML is a solution that is independent from the source and destination hardware and software architectures, it is the best solution to support interstate exchange. No significant modifications to either source or destination environments are needed. However, there does need to be agreement on what is exchanged from a data content perspective. There is an assumption that most states have the same set of core data in their CSE systems but it must also be assumed that precise data formats vary.

4.4.3.2 Alternative 2 – Traditional System-to-System Interface (Colorado)

A traditional system-to-system interface is uniquely developed to operate within a particular state and/or court's hardware and software environment. Because this solution is completely dependent on the source and destination hardware and software architectures, it is not a viable solution to support interstate exchange.

4.4.3.3 Alternative 3 – Imaging (Washington)

Washington has completed its first phase of interstate referral. They have built a case file correspondence imaging system – 100% of all case correspondence mail is centralized and 50% of all case files are imaged. For interstate cases, 50% of incoming mail is forms that have been requested from another state. All forms have bar codes that contain information to index a case. If the statewide system had a forms table, then automated actions could be performed. The interstate focus would have to be in the standardization of the forms and barcodes so that automated case setup could at least be achieved. Once this was accomplished, then interstate cases could be treated just like intrastate cases.

5. COST/BENEFIT ANALYSIS

Developing a typical cost/benefit analysis for the identified alternatives is not possible due to the many variables within any given state that must be accounted for. Each state has a unique set of characteristics (number of users, number of transactions, degree of legacy modifications, hardware and software required, etc.) that make it impractical to derive one set of costs for each alternative. However, some general conclusions related to costs can be derived based on the different alternatives. Also, it is possible to derive a relative comparison of costs among the alternatives.

The analysis of the requirements and alternatives is structured in a manner that makes it possible to derive a standard set of benefits. For the most part, the benefits are the same for each alternative conceptually, but providing a tangible measurement to the benefits is limited by the variations from state to state. For example, determining a discrete dollar amount for reduction of paper document storage would be radically different for New York than for Wyoming.

To give states considering the development of a data exchange capability between their CSE agencies and courts a concept of the costs involved, a relative cost comparison between the alternatives has been developed. This should give states, along with knowledge of their specific environment, some idea of which alternative may be most applicable to their situation.

5.1 COSTS

The cost analysis provides a general assessment of the expenses to a state to develop an exchange interface. A majority of the effort involved with any solution is expended on organizational changes, ongoing operations, and legacy system modifications. These costs are not reflected in the analysis since they are dependent on the specific state and its current organizational structure, system environment (CSE agency and court), and caseloads. Development/ implementation and ongoing costs are relatively assessed among the three alternatives. It should be noted that the development of the exchange capability is not a large or expensive undertaking relative to statewide human services system development and implementation projects. Just because one of the alternatives is relatively less expensive than other alternatives, does not mean a state should not consider them all. The alternatives in the matrix are:

Alt 1 = XML based interface

Alt 2 = Traditional system-to-system interface (Colorado based)

Alt 3 = Imaging (Washington based)

Cost Category	Alt 1	Alt 2	Alt 3
Development/Implementation Costs			
Staff Costs (State/Court Staff, Contractor Staff)	L	H	M
Hardware	L	L	H
Software	L	L	M
Other EDP Supplies	L	L	L
Miscellaneous	L	L	L
Training	L	L	M
Indirect Costs	L	L	L
Ongoing Costs			
Operations	L	L	L
Maintenance/Enhancement	L	H	M

Relatively speaking, the XML solution is least expensive. The traditional interface (Colorado based) is most expensive relative to staff costs for development and maintenance and the imaging solution (Washington based) is most expensive relative to hardware.

5.2 BENEFITS

Benefits of developing an automated information exchange between CSE agencies and courts are provided in the table below. The table contains the following items:

- **Benefit** – a name, title, descriptor of the benefit

- **Rank** – a relative ranking of the benefit in terms of the gain, savings, increase/decrease, etc. potential to a state/court

- **Measurement** – the unit(s) used to measure the gain, savings, increase/decrease, etc.

- **Comments** – further description of the benefit, rank, or measurement

Benefit	Rank	Measurement	Comments
Increased Collections	H	$	Increased collections can be achieved via quicker delivery of child support orders and quicker child support order establishments and enforcement actions.
Positive Impact on Federal Performance Incentives	H	$	By improving state collections, Federal performance incentives are maximized.
Paper Reduction	L	$, Time	Dollar savings in paper, postage, storage, courier, etc. can be achieved. Also minimizes staff burden of archiving records and destroying archived records according to state regulations.
Increased Medical Participation	H	$	Increased medical support can be achieved via quicker delivery of support orders and quicker establishment of medical support, offsetting the government's responsibility for medical coverage for children.

Benefit	Rank	Measurement	Comments
Reduced Data Entry	M	Time	Due to current budget restrictions and hiring freezes, reduced data entry alleviates workload burden, could alleviate the need to backfill positions, and allow staff more time to concentrate on casework (and focus on the more difficult cases). Potential to alleviate backlog for both CSE agency and court.
Maximize Existing Staffing Resources	M	Time	Alleviates workload burden and allows staff more time to concentrate on casework. Any time staff can avoid dealing with paper is a labor savings. Every keystroke represents effort. Staff time is saved in distributing and filing documents.
Facilitate Access to Current Case Information (for those who to need to know)	M	Time	Alleviates need for staff (caseworkers, court staff, process servers, attorneys, etc.) to call, fax, email requests for current case information.
Facilitate National Data Exchange	H	$, Time	Improves data exchange between CSE agencies and their own courts. The potential exists to improve data exchange among states (i.e. interstate). Alleviates need for staff to call, fax, email requests for current case information. Could also improve collections by expediting the process.
Error Reduction	L	Time	Reduce the amount of time staff (agency and court) has to spend to correct data entry errors.

The above benefits table provides states with indicators that may be helpful in completing a detailed cost/benefit analysis prior to developing an exchange interface. Each benefit has the potential to support the justification of such a project. Information gathered via interviews with states indicates that resources are extremely constrained and any IT project beyond mission critical projects would likely need to be justified and sold based on tangible benefits to the states and courts.

6. RECOMMENDATIONS

Based on the requirements and potential costs, a solution employing XML does provide the best alternative for information exchange between CSE agencies and courts. Additionally, due to its flexibility, it also provides the best approach for extension to interstate data exchange. It is understood that this approach might not be the most feasible given a state's current situation and overall technical direction. If a state already has absorbed the costs of imaging technology, many of the negatives associated with an imaging solution are mitigated. If a state has established statewide standardization of technology between its CSE agency's applications and court applications, many of the negatives associated with a traditional interface can be mitigated. Colorado and Washington have successful and working solutions. Each of the alternatives, given the right circumstances, can provide an adequate means for exchanging data between the CSE agencies and their courts. However, for purposes of this study, a solution employing XML is deemed the preferred alternative.

The sections below highlight actions that states can take now, regardless of the data and document exchange solution chosen, as well as recommended next steps for moving toward implementation of an XML solution.

6.1 RECOMMENDED STATE ACTIVITIES

Some overarching recommendations are identified that are independent from the alternatives analyzed. First and foremost is completion of a specific cost/benefit analysis. General categories that may be considered for costs and benefits are provided in Section 5 but a declining economy dictates that a more comprehensive assessment be prepared to show justification for development. Additional overarching recommendations are:

- Completion of current analysis of the existing state and court systems. It is critical that thorough documentation of the existing systems be in place prior to determination of an approach and initiation of data exchange development.

- Establishment of an entity to define standard data. To ensure that all involved parties are represented, a workgroup or committee should be established to work together to specify and define the required data to be exchanged. For example, Colorado successfully standardized all CSE forms statewide through the efforts of the document generation workgroup, which includes CSE agency (including county) and court representatives. To ensure appropriate representation, variables to consider when determining the composition of such a workgroup include state or county administered and court jurisdictions (district, etc.).

- Identification of opportunities for creative funding of the project. Grants, Federal participation, partnerships with universities, and partnerships with vendors should all be examined as funding sources.

- Establishment of an overall project plan with consideration of phased implementation. Each of the alternatives can be implemented in phases. Phases can be defined in terms of data content or targeted counties or regions or stakeholder groups. An iterative approach could be used to

implement a small aspect of the application, which could then be piloted to acquire feedback for use in refining and expanding the application.

- Consideration of change management. States should consider the impact on business processes, workflow, and system users prior to development – for both the CSE agency and the courts. This would include training and support issues.

6.2 NEXT STEPS

It has been determined that a solution employing XML provides the best alternative for information exchange between CSE agencies and courts. XML best meets the requirements and provides scalable capabilities. Scalability is a significant benefit because it can expand beyond a CSE agency and court data exchange to encompass a broader information exchange capability, including interstate. Based on this finding, two major activities are identified as next steps.

6.2.1 EXPAND LEGALXML DTD

It is recommended that OCSE pursue continuation of the work completed to date by the child support XML workgroup. An expanded, comprehensive, and uniform DTD could be used not only for information exchange between CSE agencies and courts, but also for various other applications. The recommended approach is to use the XML DTD as a guide, and build a "palette" based on the data available in this study, data elements from CSENet, information identified and defined by the Interstate Workgroup, and more. The data requirements contained in this deliverable may be revised after the work products completed by the Interstate Workgroup are finalized.

6.2.2 COMPLETE DETAILED COST/BENEFIT ANALYSES

It is also recommended that detailed cost/benefit analyses be completed for three states to further validate the XML endorsement reflected in this study and to help them pursue implementation of a data and document exchange solution. The following activities are proposed:

- Develop and document the cost/benefit analysis approach, methodology, templates, and tools

- Establish criteria for selecting candidate states for completion of a detailed cost/benefit analysis

- Create a list of candidate states and gather information on their CSE environment (agency and court) and status of current data and document exchange capability

- Select three states for completion of a detailed cost/benefit analysis

- Customize as necessary the cost/benefit analysis approach and methodology, templates and tools based on the uniqueness of the selected states

- Complete detailed cost/benefit analyses

- Based on cost/benefit analysis results, pursue opportunities to implement a solution in a state that may include, but not be limited to, the following activities:

- Develop a detailed work plan and organizational strategy

- Develop technical and functional requirements

- Develop a prototype and see it through testing and pilot phases

OCSE may also consider pursuing opportunities to provide XML exposure to states via training courses, conference presentations and workshops, and materials available on the OCSE website.

APPENDICES

A. INTERVIEW GUIDE

The following survey instrument was used to structure the interviews with state CSE contacts and court contacts.

<u>Questions relating to Current Process of Receiving/Sending Information From/To the Courts</u>
1. **What** information do you currently receive from/send to the courts?
   - Data (e.g. case information, case history, case calendar, actor status, associated case list for particular actor, content of court policy database, existing docket information)
   - Documents (e.g. court order)
   - Forms (e.g. child support complaint or petition)

2. **How are** you receiving/sending the information now?
   - What is the **method** by which you receive/send the information? (e.g. mail, fax, phone, electronic transfer, like email)
   - How **often** do you receive/send information?
   - Are there any **deficiencies, problems, issues or concerns** related to receiving/sending information?

3. **How would you like to** receive/send it?
   - What is the **method** by which you would **like to** receive/send the information?
   - What would you **have to do on your side** to receive/send it this way?
   - Would you **send anything back** to the courts notifying them that data was received?
   - How would this method **improve the Child Support Enforcement process**? (e.g. savings in staff time, expediting collections, etc.)

<u>Questions relating to Electronic Interface with the Courts</u>
4. Do you have any **plans** to exchange data with your courts via an electronic interface?
   - **If so**, do you envision having to make modifications to your CSE system to accommodate this interface and if so, what would the modifications consist of?

5. What is your **computing environment** with respect to the following:
   - What **hardware** does your current CSE system run on?
   - What **software** do you use?
   - What **Operating System** do you use?
   - What **Network** do you have?
   - What type of **Database** (database environment) would be the recipient of information from the courts?

6. Concerning the **users** that would access information from the courts:
   - **How many** users would have access to the court supplied information
   - Of those, what **percentage have access to the Internet**
   - Of those, **what percentage have access to the E-mail**
   - Of those with E-mail access, what **e-mail application** do you use (e.g. LotusNotes, Outlook, etc)
7. Who would **maintain/operate** the electronic interchange environment?

8. Do you have any **documentation** related to constructing an electronic interface with the courts?

- Project Plans
- Cost Information
- Design Documents
- Implementation Plan

B. INTERVIEW SUMMARY

The following table summarizes the analysis performed from the interviews conducted with the state and court contacts.

State	Contact	Summary of Current Exchange Process
California	Amy Silva Orange County Superior Court	• No current electronic interchange capability • Electronic filing in place before new Child Support laws; intend to begin new effort when money is available • Use imaging technology to electronically send documents
Colorado	Craig Goellner, Systems Director Division of CSE Bob Roper Court Information Officer Supreme Court of CO	• Automated payment processing • Automated case registry – court orders are transferred nightly from Court CCMS to CSE case registry
Georgia	Cindy Moss, Program Director, Information Systems Ronnie Bates Georgia Dept. of Human Resources, Office of Child Support Enforcement Todd Vincent, contractor to the State of Georgia	• Court Filing Interoperability Pilot Project provides Georgia courts and attorneys with proof-of-concept of electronic court filing and to better understand the need for, and barriers to, developing court filing systems and standards in Georgia.
Louisiana	Robbie Endris Program Director – Field Operations Support Enforcement Services	• Electronic Federal Case Registry • No electronic exchange in Child Support • Using scanning technology
Missouri	Alyson Campbell Deputy Director, DCSE/ISTU	• Courts enter orders into statewide CSE system, MACSS • Courts have their own judicial information system and maintain distinct court information; there is no duplication between the two systems.
New Mexico	Joanne Browne, Helen Nelson, Tom Barr (Chief Counsel) Child Support Agency Renee Cascio New Mexico Courts	• Disbanded electronic filing workgroup • E-filing pilot in one court; project ended due to lack of funding
Pennsylvania	Dan Richard, IV-D Director Joyce Match (for Jeff Rowe, Application Manager for PACSES)	• Unique organizational structure – the local IV-D agency (Domestic Relations) is the court in Pennsylvania • All CSE related activities are in one place • Forms are standardized statewide
Texas	Jacqueline Nguyen and Karen Clements Texas Office of the Attorney General	• 4 largest counties send dataset electronically to courts which is used to create a record to establish a file date and docket number; nothing returned from court • Benefit: get file dates faster • Still rely on paper documents

State	Contact	Summary of Current Exchange Process
Washington	Steve Spitzer System Manager DCS SEMS – Imaging Project Gary Masten, County Clerk	• Imaging system to electronically transmit court orders (currently only 29% of court orders are paper) • Using XML • Have centralized 100% of case correspondence
Wisconsin	Dave White Child Support Specialist (CSE Call Center), Bureau of Partner Services, Dept. of Workforce Development Dan Floeter, Family Court Commissioner; Kerry Widish, Court Manager; Donna Wills, Net Administrator; Gail Richardson, Madison County Court Administrator	• No electronic exchange capability; not needed since CSE agency is co-located with the court • Office of the State Courts recently completed a two-year e-filing study • Court staff have access to statewide child support system, KIDS • CSE agency has access to court imaged database, which contains family and paternity court documents

C. INTERVIEW NOTES

The following notes document the interviews conducted with the state and court contacts.

Notes on Discussion with Amy Silva, Orange County Superior Court
State of California, Orange County
Date: 12/9/2002

No current e-filing project, had one from 1995-1998. Local CSE agency was filing cases electronically. Data consisted of case name and number, party name and case number was automatically dispensed. Did not have imaging then; document was sent next day, so still had paper. A case tracking system already contained the data. When document came in, all that had to be done was stamp it; eliminated data entry. In 1997, changed methodology of CS judgment; 1058 was law that created child support program; stopped e-filing because it would take a lot of effort to make changes to the system. Since that time, there have been additional changes in how CS cases are handled; new forms, new laws. For questions on methodology of how it was done, should contact the IT systems people.

In the future, would like to begin e-filing with CS agency; going to talk to other courts and see if they want to do e-filing also. CA's CSE system vendor was Lockheed-Martin and after many years, never got the system done. Some of the smaller counties were using Lockheed-Martin system, but the system was never implemented statewide. Then every county was told to pick a system to be on – there will be 3 or 4 versions of software. Orange County chose to use the LA and San Diego system (40% of population in these counties). The counties meet as a consortium to decide changes. LA (ARS) system is being used. If wanted to do e-filing, would have to discuss with other 2 counties; so, it will take a long time to accomplish.

E-filing project is on hold; need to initialize the discussion; not ready for quite a while; Orange County converted to ARS 5 months ago and they want to do e-filing.

Are using imaging now (for 2 years); want image to get burned automatically, so don't have to scan documents; then data entry has to associate image with specific document; so have to connect Case Management system and imaging system. Initial pleading is sent electronically, (not sent as paper) and then it is scanned for placement in the imaging database. Register of actions uses imaging to do all their work; every file or document is imaged now. More than 1 person can view them this way. If CSE could access imaging database, then the process would be more efficient. CSE sends in requests for judgments, various documents; 2 groups would have to work together to access images (have to deal with firewalls, etc). CSE does have access to case tracking system (BANNER), brought it up in 1995.

Criminal uses another product.

Everyone has separate databases, even those who use BANNER (juvenile, family law); OC files 25,000 cases (new family law, includes CS). CS is about 1000/month; order to show cause is one of most often filed – about 1300 a month. 18 courtrooms for family law (3 for CS law).

However ARS generates pleadings or documents, it could electronically be sent to courts. CA is forms driven (all forms are standardized); so when do initial data entry of minor child, DOB, salary, etc. and a complaint gets generated, it would be more efficient if an automated process could send data to courts. Court would have to tag it so could be uploaded to case tracking system; so would like for them to talk in

that sense. A lot of discussion now on how to access database; do not want CSE to come directly into system; would give inquiry rights. Court needs case name, type of case (paternity, parentage), who filed; so on pleading would like to tag those fields only. Would have to work out how it is uploaded; court really tracks documents; would not want most of data that CS creates.

Between 1995-1997, court would give case number automatically and that got attached to pleading; beginning of e-filing.

Contact: Mary Lou DesRochers, Exec. Director for Orange County superior courts; she is involved in e-filing project divorces (other family law, not CS), might know other family law courts who are doing some e-filing; 714-834-6045. Admin Office of Courts, Technology Unit might know of technology project; Diana Krishna, 415-865-7463. Orange County System people; Nancy Hawkins (Manager); 714-935-6262 or Kim, 935-6782 (Supervisor, reports to Nancy); Both have info about e-filing.

Issues with e-filing in 95:

- Need to make sure only one case gets filed and same case doesn't get filed 3 times
- Data entry people at DA office would hit enter key more than once, so same case got multiple case numbers

ARS system – gave CCS block of case numbers so the system generates case number and they generate report that also goes to court; it was a way to track and ensure accountability of what was being sent over.

Both sides need reporting mechanism to make sure nothing is getting lost (like logging system on both sides).

In 1995, if had defendant in office and wanted to prepare case and serve him, could do it in real-time while person was in office (transmitted to courts in real-time and got back a case number while the defendant was in office).

When make changes to both systems, in 1995, each side paid their own way; CSE are better staffed than courts now (courts has $20M shortfall now, bad economy).

Electronic interface is high on priority list, if not part of ARS, would be pursuing it now.

Bad economy could stop it; can't replace anyone that leaves; can't hire, so that could stop it; so realistically, can't tackle right away, but are many advantages.

Notes on Interview with Craig Goellner, State of Colorado
Date: 11/4/2002

Question 1. Colorado has an automated interface with their courts. They have a limited state case registry and they establish accounts for payments through their SDU. When a case is established, the court sends a transaction to set up an account (if new order) or modification(s) to an existing order. When the court sends a transaction for a new order, a new case is automatically generated in the central registry. For a new case, there is no user intervention; interface is crude. There are instances where they are trying to match data from the courts with IV-D caseloads, which sometimes requires human intervention, but ½ to 2/3 of transactions are processed automatically. The number of data elements are 40-50. (**Craig said he would send us the data elements**).

When asked if anything is sent back, he answered that an acknowledgement and rejection (error) loop does exist, but they don't send <u>data</u> back. Courts are told that something is received, etc. Some of the data is control data.

Question: Is court interested in IV-D case registry? Non IV-D is what the court gives them; very limited. There is a non-disclosure indicator that can be set on IV-D side. The court is rewriting their system to incorporate a graphical user interface. They are also looking at XML. The IV-D side recognizes that there would be value if the filings could be done electronically. Other than that there is no interest.

Colorado is county-administered (it is the local district court that is working with the local CSE). In the IV-D world, paper drives the establishment or modification of an order, so paper comes back as well as an electronic copy (paper comes first). In the non IV-D side, only get an electronic order because the parties are pursuing the order themselves, so open an FSR account (just to populate the state case registry).

CSE has a document generation facility, so all forms are standardized. Throughout the state, everyone is using the same documents (there are hundreds of documents). IV-D world has standardized on documents exchanged with courts. When the document generation was created, a committee was formed (representing all parties) to approve all changes to IV-D legal documents. Once approved, they were programmed into the document generation facility. This lends itself to XML (potential is high).

Jackie Barnett has done technical work on the interface; now one large generic transaction. It is like a higher level of integration, but there is not material to interchange. They are getting what they need. Can be compared to e-filing.

Question: What are some indicators that would let you embrace XML?

- Doesn't have time to figure out how to marry XML with CSE system
- Have to deal with confidentiality (encryption or secure transport mechanism)
- Would be interesting to see what GA has done
- Same formats at DTD; again more technical tasks
- What is the application that would give you the most bang for the buck, like e-filing or wage withholding. DFAD is using flat technology; XML could help.
- Court needs to answer how XML could help within their infrastructure
- Colorado Courts – statewide point of receipt (i.e. portal)

- Court filing standard allows an electronic document to be used in an envelope, so one step would be to transmit PDF electronically just using browser technologies

Question: What is carrot for the courts for using electronic transfer?

- Anytime you are not dealing with paper is a labor savings. If you had a repository, could provide web-access to those with a need to know (distributing documents, filing documents, etc)
- Every keystroke is a major effort to them, so if could file electronically, that would be another benefit.

Question: What other states are you aware of that might have an electronic interface with the courts?

- NM (check XML work group)
- TX (has done some limited electronic filing)
- OR – maybe, not sure
- GA

Craig asked if there were any groups working together to standardize forms to be exchanged because you need to have a human infrastructure in place before applying technology.

Craig to email contact information for Jackie Barnett.

Notes on Interview with Bob Roper, Court Information Officer
State of Colorado
Date: 12/9/2002

Question 1:
Support Orders

- Court Case Management System is court managed and was built in-house about 2-3 years ago **(Bob will confirm)**

- Whatever orders courts issue are transferred nightly from CCMS to CSE registry

- There are mandatory fields that must be completed and are some non-mandatory fields that are also flagged when transfer is made because they also want that information

- Get back exceptions nightly, which are error messages on rejected records or missing information (based on flags set for required/wanted data); corrections are made next day

- Court orders are standardized

- Court order system – data elements are the same

- Don't have to follow-up with hard copies

Question 2:
Deficiencies/Issues

- Court has none; everything is working smoothly

- **Percentage of errors returned, Bob will get those numbers**

Question 5:

- Hardware is IBM AS 400/730

- SW is Court Case Management System (ICON, Integrated Court On-line Network)

- Clerks key in information and it is transferred by FTP to CSE system

- OS is OS400

- Private TCPIP frame relay network

- Database is DB400 (same as DB2)

- **# of data elements (Bob will get that for us)**

    ~ He will break it down by mandatory and non-mandatory

- Interface maintained on court side

- **Documentation**

    ~ Bob will check on what they have and will get back to us

XML

- XML is technology of choice; wanted to use it initially, but was not available when they built their system

- They were following the Terrie Bousquin (former New Mexico CIO) effort (XML standard group? Legal XML workgroup?)

- Would love to be a pilot for our effort once standards are finalized

- Benefits that they don't already have

  - Real time updates

  - Facilitate national data exchange – ease with which Colorado could exchange information with other jurisdictions if there was a standard for tagging fields

  - Effort to convert
    - Have to train staff
    - 3-6 months with 1 FTE
    - Craig would also need project help

They also have a Statewide Criminal Justice Information system (CJIS); they are talking about converting it to XML in-house.

Notes on Interview with Cindy Moss, Program Director, Information Systems, GA Office of CSE and Ronnie Bates, State of Georgia
Date: 11/20/2002

Comments on Georgia Courts Automation Commission's Interoperability Pilot Project implemented by Georgia State University:

- Website: http://e-ct-file.gsu.edu/
- Douglas County typically files 4 cases per week which are sent FTP to remote server (Word Perfect format)
- Court file is stamped (XML/PDF format) – using LegalXML recommendations on fields
- Document can be viewed via a web browser
- Access is through a website
- Updates are made to clerks database
- Manual updates are required to CSE system
- All legal documents filed with the court – petitions, initial pleadings for support or contempt

Benefits:

- No trips to courthouse
- Reduced copies
- Process server is notified electronically
- Service information is electronically sent to courts and electronic notification is sent to CSE
- Only one website – just different links

How is system being paid for?

- Currently Douglas County is only county that is operational
- No one wants to pay for it
- Was implemented by e-filing.com
- Future is based on funding
- Another circuit court is interested but they have a different operating system
- Until it implements all of electronic filing, they are hesitant to put it out
- Requested a SIP grant; if they get the grant then they can make some of the modifications
- $5 of what is paid to process server would be given to e-filing.com
- GA doesn't pay a clerk fee, so can't use that avenue
- Funding issue is BIG; there are no extra dollars
- There is no marketing information; currently word-of-mouth

Example of savings:

- Benefits document – Pleading --> signature approval --> filing --> process server; this used to take 22 days; with electronic filing it is now a maximum of 5 days in pilot county
- Petition/Pleading to establish support/legal documents – deficiency: manually input into the Case Management System

Other Benefits

- Douglas County wants to be able to share data electronically
- Could eliminate document creation; just go directly to the server
- Document format is not an issue; each county could require a different format as long as the fields are the same
- Can fax a document too and it can be FTPed and put into a database, so it will eliminate data entry
- Interstate forms could be sent using XML

Currently working on Comprehensive Plan: Electronic submission using XML. Estimated completion date is December 20, 2002.

Why is XML the way to go?

- Ability to cross platforms and update databases
- Simplicity (not like Cobol)
- Ability to take a fax and convert it
- Easily tagged to make modifications

Other systems that we should check into: Riverside County website

SURVEY (completed survey received from Georgia):

<u>Questions relating to Current Process of Receiving/Sending Information From/To the Courts</u>
1. **What** information do you currently receive from/send to the courts?
   - Data (e.g. case information, case history, case calendar, actor status, associated case list for particular actor, content of court policy database, existing docket information)

     Court Calendar

   - Documents (e.g. court order)

     Orders for Support
     Contempt Orders
     Default Orders

   - Forms (e.g. child support complaint or petition)

     Petitions to Establish Paternity & Support
     Petitions to Contempt
     Rule Nisi
     UIFSA Petitions
     Depositions
     Continuances
     Service Process

2. **How are** you receiving/sending the information now?
   - What is the **method** by which you receive/send the information? (e.g. mail, fax, phone, electronic transfer, like email)

     Mail
     In Person
     Electronic (E-filing)
     Fax
     Phone

   - How **often** do you receive/send information?

     Daily

   - Are there any **deficiencies, problems, issues or concerns** related to receiving/sending information?

     Mail/In Person – timeframe and man hours. Currently we must take the documents to the courthouse have the Judge sign, return to the office make 3 copies, return to the court for filing, go back to the office, return to the court house to pick up the documents, return to the office, call the process server to pick up documents for service, wait for service, process server returns service papers to office, make copies, return to court house to file service papers.

3. **How would you like to** receive/send it?

- What is the **method** by which you would **like to** receive/send the information?

  Electronic Filing. Generate electronic documents, Attorney approved, document goes to Judge electronically, he signs, then it is submitted to the Clerk, she files electronically, auto notice sent to OCSE that document filed and ready for pick up at the same time the process server receives notice. He serves the documents and then electronically submits service papers back, clerk electronically files and notifies OCSE. OCSE computer system auto accepts data and updates the database. Notices auto go out to CP/NCP. Constituent self-service.

- What would you **have to do on your side** to receive/send it this way?

  Technical upgrades and programming

- Would you **send anything back** to the courts notifying them that data was received?

  No

- How would this method **improve the Child Support Enforcement process**? (e.g. savings in staff time, expediting collections, etc.)

  Save man hours, which could be used to take actions to collect support. Decrease the time to obtain orders and court dates.

  Improved Customer Service.

Questions relating to Electronic Interface with the Courts

4. Do you have any **plans** to exchange data with your courts via an electronic interface?
   Yes, pilot currently underway.

- **If so**, do you envision having to make modifications to your CSE system to accommodate this interface and if so, what would the modifications consist of?

  Yes, need to be able to accept data from the court system.

5. What is your **computing environment** with respect to the following:
- What **hardware** does your current CSE system run on?

  Mainframe, CICS

- What **software** do you use?

  $TARS application, WordPerfect

- What **Operating System** do you use?

  Windows 95/98

- What **Network** do you have?

  LAN is Novell

- What type of **Database** (database environment) would be the recipient of information from the courts?

  DB2

6. Concerning the **users** that would access information from the courts:
   - **How many** users would have access to the court supplied information

     1400

   - Of those, what percentage have access to the Internet

     100

   - Of those, what percentage have access to the E-mail

     100

   - Of those with E-mail access, what **e-mail application** do you use (e.g. LotusNotes, Outlook, etc)

     Groupwise

7. Who would **maintain/operate** the electronic interchange environment?   Vendor

8. Do you have any **documentation** related to constructing an electronic interface with the courts?   Yes
   - Project Plans

   - Cost Information

   - Design Documents

   - Implementation Plan

Notes on Discussion with Todd Vincent – developer for Georgia Courts Automation Commission's Interoperability Pilot Project
State of Georgia
Date: 2/28/2003

Georgia Courts Automation Commission's Interoperability Pilot Project Discussion

- There are 5-7 applications with different interfaces that all have to talk to each other.

- Georgia had a back-end mainframe and document generation system that merged into WordPerfect. They now use WORD and their own document generation system; they take data and documents and send through court filing process (based on Legal XML – using DTD). Generic way to pass filing info; once it gets to court, goes through 2 applications and then goes through adapter that takes data and puts it into the case management system; they are moving to another system.

- Project funding: vendor gives work and software free. They made an arrangement with sheriff for service of process; vendor gets piece of money paid to sheriff. Want to roll out to other places of state; dependent on volume also. Todd is funded by courts; vendor is not paid for. Todd is a contractor for the state (through the University); he is also a contractor for the university; project answers to GA courts automation commission.

- CA has a 2nd generation court filing process; Georgia will be moving to this type of process; there is a link on their website describing this process.

- Issue is not technology, but the funding; submitted a SIP grant request; did not get a grant; theirs is not a good business model for vendors to get involved in; courts and DHR can't come up with adequate funding; they plan to repackage the SIP grant request into smaller amount.

- They want to get involved with an actual implementation; have one of the most advanced implementation systems in the country; information flows in circle – DHR-court-DHR. Wanted the grant to close the loop back into the DHR system; need $200K over extended period of time. Big issue is training and support; not a lot of data that gets passed over; have to facilitate communication among all parties. Data issue – 7 systems all with different data.

- Information necessary for filing (Legal XML). Court doesn't care about data is document (DHR has that in their systems); court only cares about filing information.

- CSE process: File a complaint and 4 other documents which initiates case; hearing set; and that date is set and communicated manually; subsequent filings; case sits for 2 years maybe and other documents are filed; existing case # will come over with document and other documents will be associated that way. Prioritize easiest exchanges and do those first; small steps. What they are doing is most advanced; only funding issue; Ronnie Bates could give more detail and another perspective.

Notes on Discussion with Robbie Endris, Program Director - Field Operations
Support Enforcement Services
State of Louisiana
Date: 12/12/2002

- Louisiana is only doing Federal Case Registry electronically

- Not doing any electronic exchange in Child Support

- Have bought scanner/printers

- They do have an XML workgroup

- Their IT workgroup is in social services, under division of administration.

- There is now one parent agency for IT for the state. CSE has as one of its higher priorities to get moved there. They have a good CSE system.

- Contact in IT group is: Mark Hodges, 225-922-2075

One of their technology goals is to get technology to the caseworkers in the field (by means of laptops) so that they can input their data as they collect it and it will then get uploaded into the CSE system; also want to be able to take laptop into court room and do input in courtroom.

Issue in Louisiana:

- They have expedited their child support process by means of hearing officers who can hear the case and make an initial assessment (they have a lot of hearing officers); this doesn't take up district court time; cases move quicker through. Hearing officer decision may be appealed to an elected judge within 72 hours; if not appealed, then judge has to put signature on it; can cause problem; always 72 hour delay; can wait a month to get paper order.

    How do they deal with this potential delay – for most of the jurisdictions, when CS attorney leaves court, he has a copy of the recommendation in hand; can act on recommendation (usually wait 3 days to see if recommendation will be appealed)

Louisiana is state-based; judicial, not administrative; license suspension is only administrative process in the state.

Notes on Discussion with Alyson Campbell, Deputy Director DCSE/ISTU
State of Missouri
Date: 2/26/2003

Information exchange process between CSE agency and the court:

- MACSS (Missouri Automated Child Support System) – courts enter orders into MACSS (both IV-D and non-IV-D cases); can see the order in the system; have been doing this since 1998; court clerks access MACSS with PCs with 3270 emulation.

- Child support staff can see court order information in MACSS and payment information if circuit clerk receives the payment; now most payments have been redirected to SDU; for those few cases that the court receives and receipts payment – it is done in MACSS. Child support staff don't see docket sheet, petitions.

- Courts have their own judicial information system and they maintain court records there as well; information is different in the two system; no duplication.

The Office of the State Court Administrator governs the courts. They have developed a new web-based program called CASENET. CASENET is open to the public; it provides information like docket entries for cases. When all CSE staff have Internet access, they would be interested in the CASENET system. It is new and its utility to CSE staff has not been evaluated; an example of its use would be for criminal non-support cases – cases could be tracked without having to call the district attorney's office for information.

Opportunity for increased efficiency via electronic transfer:

- Some enforcement actions require certified copies of court order – primarily interstate cases that require an interstate referral asking for enforcement on Missouri's behalf (small number of cases); have to ask for certified copy manually; can't get it electronically (needs seal). Long delay in bigger courts (Jackson county can be months); smaller courts would have within 2 weeks; St. Louis City also big court and there is delay there too. Federal law or state statute requires certified copies of court orders; Missouri is an administrative state and they don't require certified copy of court order for intrastate cases.

- Otherwise they have what they need in MACSS; from the time MACSS was brought up in 1988, non-IV-D cases were included, so don't have to go back to the court to ask for more information.

Missouri has not adopted electronic signature.

Missouri is just now becoming technology-enabled; in the last fiscal year CSE staff were given PCs, prior to that they had green screens; proposals are on the table for imaging and web communication; budget is an issue.

Notes on Interview with Joanne Browne, Helen Nelson, Tom Barr (Chief Counsel), State of New Mexico
Date: 12/3/2002

New Mexico had a working group some time ago (since disbanded) to define the requirements for electronic filing; composed of CSE agency and court staff; meetings were sporadic; not much headway and no products were generated. There was a design document created and **Joanne will send that to us**. The workgroup looked at XML; not aware of any other technologies considered.

All legal forms are accessible on-line and are data scrapped into a database. **Joanne will give us the data elements captured.** The forms are part of a packet. The Navajo Nation has access to the forms, but don't use all of them.

Survey Instrument:

- NM does not file anything electronically with the courts; they can access certain information, but are not filing anything electronically at this time;

- Electronic signature is legal in NM, but are not using it

- Court clerks do not have access to CSE system

- CSE agency can view court system

- Courts have their own system and assign their own case ID number. Case information, case history, etc. is also kept on the court system.

- Document interchange is through the mail or delivered to the courthouse in person

- They might be able to pull up a calendar

- All documents are hard copy

- Information is exchanged daily in the larger cities

- There is not a CSE office in every county seat

- Problems related to receiving/sending information:

  - It takes several weeks in Albuquerque to process documents; shorter times in other parts of state. Enforcement petitions are processed first.

  - Albuquerque is flooded with petitions

  - Courts are under funded and have been so for last 8 years

- Enforcement action is filed the day it is received

- When information is received from the court, it must be entered manually into CSE system; time consuming

- Only acknowledgement from court of information sent is a date stamp

- What would like to receive electronically

  - All filings

  - Like to file electronically and get endorsed copies back electronically

- Their working group did look into XML; need to review design document to see what was done

- No plans to resurrect the workgroup (it was composed of agency and court staff)

- Electronic interface would be major impact to the courts and modifications would be fairly minimal

- Only technology solution discussed by the workgroup was XML

- Benefits to electronic interface
  - Money savings (postage and time spent going back and forth to courthouse)
  - More expeditious
  - Slow downs and bottlenecks affect everything
  - Easier to track at both ends
  - Would expedite collections
  - Positive impact on Federal performance incentives

Privacy has already been addressed (most filings are public record).

Notes on Interview with Renee Cascio
New Mexico Courts
Date: 1/24/2003

Current exchange capability with the CSE agency:

- Electronically send data file, place on FTP site and child support agency pulls it down. Occurs at least monthly. Information sent includes case number, date of order issuance, party demographic data (such as names, dates of birth, SSNs), address, relationship, when child support ordered, amount, and a flag for domestic violence (as specified from the parties). Follow with certified copies of orders. Nothing received electronically from the CSE agency.

- Statewide case management system – in every district court in the state.

- Don't image court documents at all.

- Individuals have to submit pleadings through the court for a case to be opened. Child support agency doesn't open cases to her knowledge – goes through court. Don't receive anything from the agency.

- Had e-filing pilot project in one court in the state; had to end because legislature wouldn't fund it. Not dealing with any electronic exchange currently. Electronic signature was a significant issue. **Will talk to IT people about availability of data elements identified for the pilot and send to us if possible.**

- The courts only hear and consider what's presented to them – anything other than that is a violation of judicial ethics.

- Interstate data exchange – no exchange with other states. Believe that the information they send to the CSE agency is forwarded to the Federal Registry, but there is no follow-up to confirm this.

Still track the latest with LegalXML.

Notes on Interview with Dan Richard (IV-D Director) and Joyce Match (for Jeff Rowe, Application Manager for PACSES)
Commonwealth of Pennsylvania
Date: 2/12/2003

- Local IV-D agency is the court in Pennsylvania – Court of Common Pleas and a Domestic Relations Section (IV-D agency) in every county; unique relationship. Pennsylvania is a judicial process state. Domestic Relations is a highly administrative branch of the local court system. Docketing activities are completed by Domestic Relations themselves.

- All CSE related activities are in one place. Child support functions completed in the statewide child support system, PACSES.

- If a complaint is filed for child support, a conference takes place during which an interim order is generated. If not appealed within 15 days, becomes final; then a paper copy is issued that the judge will stamp; or it is pre-printed from the court order.

- PACSES has 354 forms within the system, including orders for support, license suspension, liens on assets, income attachments. Forms are standardized statewide.

- There is no waiting for an order; IV-D agency is creating the order; some have rubber stamp; some send to the judge for review and signature; local offices have different requirements. Don't have to wait for piece of paper to post payment or respond to customer concern.

- Similar organizational structure in Michigan – "Friend of the Court", which performs a similar function as Domestic Relations in Pennsylvania. Not sure if they can establish a temporary order. Friend of the Court is an administrative agency that takes care of enforcement and related actions; they don't hold support hearings or establish the order.

- Pennsylvania's organizational structure – advantages include a streamlined process, no extra judicial process for contempt, don't have to refer cases to a court because the court has spoken. Really no disadvantages, other than issues that arise when two separate branches of government interact – separation of power issues, can't regulate the courts, neither side can dictate to the other. Cooperative agreements are with the judicial branch – have to be aware of political differences and issues. Most counties are of sufficient size to have family court judges who are familiar with the program, so they are not going to another body where they have to start from scratch if there are larger issues. Support guidelines are issued by Supreme Court rule, so can't be declared unconstitutional; therefore, can circumvent a lot of jurisdictional issues.

- PACSES was fully certified in December 2001 (including PRWORA).

- Technical environment: Unisys Clearpath mainframe with servers in counties where forms and screens (GUI interface) are downloaded. Store form templates and latest versions of screens at the county level. Each county worker has a PC; they are upgrading to IBM state-of-the-art flat screen PCs. Also have PACSES homepage, data warehouse, portal, and intranet.

- Applications: COBOL, support layer is proprietary to the state as a bridge between COBOL programs and screens so it is easier to write the programs.

- Database: DMS, RDMS (converting slowly).

- Want to share information with other courts, like child support with criminal, domestic violence, custody; there is also some conversation of communicating with other agencies.

- Child welfare is an administrative agency in Pennsylvania, not part of the court. To place a child, they have to go to court and file a petition and start there.

- Interstate: Pennsylvania is fully CSENet compliant and communicates that way. Interstate cases are handled at the county level, not centralized. Philadelphia County has the largest caseload (140,000 active cases).

Notes on Interview with Jacqueline Nguyen and Karen Clements
State of Texas
Date: 12/5/2002

State-based, judicial state with a quasi-administrative method as well

254 counties in Texas

Current Data Exchange Process:

- When a pleading is produced, CSE creates a dataset and sends it to court and it is used to create a record in their system

- Court establishes a file date and docket number and their permanent record of pleading

- Replaces their data entry process; eliminates data entry errors; still have to follow up with paper (petitions or pleadings)

- Only used in 4 largest counties – looking to expand; this covers most of cases (60-70% of cases); all have different systems capability; have to assist with some programming as well; other counties still file manually.

Plans:

- Group in formation; e-filing work group

- It has not met yet

- They want to look into ways of electronic filing

- They are just at point of sending people to training to understand more about the technology

- No charter at this point

- Agency staff only at first, eventually bringing in other groups

Do get anything back when send dataset:

- No, are working on cog number and file date that will automatically update CSE system; not in place now; now get it back manually and have to put it in CSE system;

- It is helping courts

Benefits:

- Expedites process; helps get file dates in couple of days; no help in data entry though;

- Reduces court backlog which helps the agency process cases

Question 8:

- Have some documentation, but may not be same as will have for electronic interface with courts;
- Timeframe for implementing true interface – one of first topics for workgroup; workgroup will be agency first, then involve other entities they would interact with.

Will have 100 new district clerks because of election; also new attorney general.

Benefit of electronic interface:

- Savings, staff time;
- Eliminate errors;
- Expedite process of establishing CS order, which would lead to expediting collection.

Other Comments:

- No resistance on court side
- CSE makes changes and sometimes buys equipment for the courts
- They pay for hardware and programming effort for courts
- Resources are only problem; in 4 counties CSE provides programmers
- 4 largest counties have most of caseload
- Just starting working group/committee to look at electronic filing
- Get filing date electronically
- Still get paper

Texas is interested in the results of the feasibility study, especially the alternatives analysis and CBA.

*Send the NCSC link

SURVEY (completed survey received from Texas)

<u>Questions relating to Current Process of Receiving/Sending Information From/To the Courts</u>

1. **What** information do you currently receive from/send to the courts?
   - Data (e.g. case information, case history, case calendar, actor status, associated case list for particular actor, content of court policy database, existing docket information)

SEND TO COURTS	*RECEIVE FROM COURTS*
Case Information	*Filing Date*
Parties Information	*Hearing Date*
	Cause Number

   - Documents (e.g. court order)

SEND TO COURTS	*RECEIVE FROM COURTS*
Court Orders (for Judge's signature)	*Court Orders (with Judge's signature)*
☐	

   - Forms (e.g. child support complaint or petition)

SEND TO COURTS	*RECEIVE FROM COURTS*
Petitions to...	*Notice of Hearing*
Establish Paternity	
Establish Child Support Order	
Enforce Child Support Order	

2. **How are** you receiving/sending the information now?
   - What is the **method** by which you receive/send the information? (e.g. mail, fax, phone, electronic transfer, like email)

SEND TO COURTS	*RECEIVE FROM COURTS*
Personal delivery	*OAG-CSD staff personally pick-up*
Mail	*Mail*
Electronic – limited use for data transfer only	

   - How **often** do you receive/send information?

SEND TO COURTS	*RECEIVE FROM COURTS*
Daily	*Daily*

- Are there any **deficiencies, problems, issues or concerns** related to receiving/sending information?

SEND TO COURTS
Any electronic data transfer must be followed-up with a paper copy of documents or forms filed.

RECEIVE FROM COURTS
Delays in data entry (due to backlogs) by Court staff results in filing dates being aside well after the OAG-CSD has delivered documents/forms.

3. **How would you like to** receive/send it?
    - What is the **method** by which you would **like to** receive/send the information?

SEND TO COURTS
True electronic filing without follow-up With paper copies

RECEIVE FROM COURTS
Electronic data transfer and notices

- What would you **have to do on your side** to receive/send it this way?

    ~ Systems programming changes to allow for data transfer

    ~ Coordinate with approximately 250 District Clerks in Texas to develop and implement

    ~ Coordinate with other entities individually, e.g. different districts of Bankruptcy Courts

- Would you **send anything back** to the courts notifying them that data was received?

    Yes, confirmation that data transfer was received.

- How would this method **improve the Child Support Enforcement process**? (e.g. savings in staff time, expediting collections, etc.)

    ~ Savings in staff time

    ~ Reduce/eliminate data entry errors

Questions relating to Electronic Interface with the Courts
4. Do you have any **plans** to exchange data with your courts via an electronic interface?

    - **If so,** do you envision having to make modifications to your CSE system to accommodate this interface and if so, what would the modifications consist of?

        Yes. Current programming to create interface to provide updates to the system of filing date, hearing date, cause number, indicator that filing was completed. Programming also to be performed to accommodate electronic filing with bankruptcy courts.

5. What is your **computing environment** with respect to the following:
   - What **hardware** does your current CSE system run on?

     ~ Compaq Deskpro EN833

     ~ EVO 1.8 Ghz Desktops

     ~ Dell Latitude 700 Mhz Notebooks

   - What **software** do you use?

     Please refer to attached list, at end of survey.

   - What **Operating System** do you use?

     Windows 98 until March 2003, after which will be Windows XP

   - What **Network** do you have?

     Netware 6

   - What type of **Database** (database environment) would be the recipient of information from the courts?

     ADABAS Natural

6. Concerning the **users** that would access information from the courts:
   - **How many** users would have access to the court supplied information

     All OAG-CSD Field Operations employees, approximately 2,100.

   - Of those, what percentage have access to the Internet

     100%

   - Of those, what percentage have access to the E-mail

     100%

   - Of those with E-mail access, what **e-mail application** do you use (e.g. LotusNotes, Outlook, etc)

     Novell Groupwise

7. Who would **maintain/operate** the electronic interchange environment?

   Likely the OAG-CSD, as is currently the case with limited electronic filing current being performed in interfaces with four county District Clerk's offices.

8. Do you have any **documentation** related to constructing an electronic interface with the courts?
   - Project Plans

   - Cost Information

   - Design Documents

   - Implementation Plan

   Because current data exchange with county District Clerks is not true e-filing, it is not necessarily the basis for documentation of electronic filing to be developed.

   Development and documentation of electronic filing with Bankruptcy Courts is in progress.

Application	Version
Acrobat Reader	5.05
Compaq Diagnostics *	4.02a
Earthlink Lite	5.0.7
Entire Connection	4.3.1.1
Groupwise Client *	6.0 SP2
GWFax Client *	5.5
IPTV Viewer	3.4
Java 2 Runtime Environment *	1.4.1
MacroExpress	3.0f
Shockwave	8.5.1
Flash *	6
Authorware	6.5
Netscape Communicator *	4.8
Norton AntiVirus Corporate Edition	7.61 41b
Novell Client * Novell Client for Windows Remote Management Zenworks Imaging Service Zenworks Application Launcher Novell Workstation Manager Novell Distributed Print Services	4.83 SP1

Office Professional *
  Access
  Excel
  PowerPoint
  Word
  Photo Editor
	XP SP1

PowerToys Alt-Tab CmdHere TweakUI	XP

Printer drivers
  Lexmark Optra, E32x (PCL)
  Epson Stylus C80
  Xerox DocuColor 12
	
	7.4
	5.3
	1.5

QuickTime Player	6
RealOne Player	6
Rumba for Mainframe	7.1
Seiko Smart Label	4.61
Sybase Client	12.5
TechSmith Codec	2.0.2
Visio Viewer *	2002
VitalAgent	8.2.5
VPN Client	3.52
Windows Media Player Internet Explorer Windows Script Host System Restore Remote Desktop Connection	8 6.0 SP1 5.6
WinZip *	8.1
WinZip Command Line Add-on *	1
WordPerfect	8 / 10

Notes on Interview with Steve Spitzer, System Manager, DCS SEMS Imaging Project and Gary Masten, County Clerk
State of Washington
Date: 12/10/2002

Washington is state-based, administrative remedies.

SEMS Imaging System Discussion

- System had its genesis in 1987 when the Central Registry Law came out; it provided for a central area for status updates for interstate referrals – it let other states know status of a case.

- Washington created a centralized area (Central Repository); cases were established within the CSE system.

- Legislation was initiated that required county clerks to submit copies of child support orders to a central location and payments had to be submitted to this same central location (regardless if the case were IV-D or not); so all orders and payments came to the central registry (was initially a nightmare because there are 39 counties).

- Technology available at that time (pre-windows) was fax; fax machines were leased for all counties (slow, labor intensive for clerks; some refused to fax orders and just mailed them).

- By 1997, 100% of orders and payments were coming to the central location; welfare reform had just gone into effect; SDU was now the law.

- In 1997 an imaging system was installed to process child support payments to keep up with volume (80,000 payments/month; by October 2002 there were 196,000 payments/month with 100,000 being electronically deposited); no new staff were hired.

- Court order unit also wanted something built, so in 1997 Case Archive system was built.

- Built an infrastructure in an imaging environment; followed a 4-phase process:

  1. Identified present processes used in counties
  2. Had to be able to process paper and then switch those using fax to redirect images to fax server
  3. Identified those clerks that had an imaging system and have the capability to export directly into the state system with index information; so county clerk would not have a delay for case setup (would be done automatically) and would go directly to state-wide system; no extra work for caseworker
  4. Then double back on low technology counties without imaging systems; state would provide imaging systems to them to eliminate fax; scan would go directly to state system

- Phase 3 is complicated; counties have chosen different imaging products; so have to publish standards; 4 standards already exist; standard 5 is case file application (case file imaging system to eliminate archiving).

- IV-A is also building an imaging system and considering being able to exchange information with them; they are using XML.

- Currently only 29% of court orders are paper (fax or mail; 5% mail).

- Have centralized 100% of case correspondence.

- Washington uses IRS codes to build administrative remedies; they take direct enforcement actions; majority are Superior Court orders (only few are absent of court order which are usually separated parents); most are entered by county clerks; trend is more IV-D agencies are in control to see that program is carried out efficiently (like SDU).

- Centralized court orders should be done so that all caseworkers can query system.

- Benefits of XML:

    - Standard file format; wouldn't matter what kind of system sender has

    - TIF is still used for imaging; XML would have name of image file, or may contain many different court orders and relates back to images that come in separately

    - Adding XML because it is becoming the standard

    - Most imaging systems have export capability; some use PDF format and they convert to Group 4 TIFF compression; some are multi-page format; so have to be able to read multi-page TIFF and PDF

    - Counties are protective of their firewalls, so have to be able to map servers; WA uses Virtual Private Network which allows them to get behind the state firewall and make the transfer

    - Preferred way to send images is email (but are limitations on file size)

    - Can be difficult to change infrastructure

    - So, they are trying to identify the most common methods for exporting; XML could help with trying to standardize the methods

- Documentation

    - They are writing a System Documentation Book

    - Have some description documentation (flow diagrams, phases); are in VISIO, Steve will send

    - Cost-benefit data

    - Had quality tools that collected info about court order piece

    - Have won several national awards and the award documentation contains benefit data

    - Steve will send documentation and we will follow-up

Washington County Clerks and DCS Imaging System

DCS began efforts a few years ago to use imaging technology to receive and process child support orders from the county clerks. The strategy has been to implement this in four phases as budget and development cycles allow. Phases One and Two are now complete. To expedite the process, Washington has combined Phases Three and Four to be implemented concurrently. Brief descriptions of the phases, with their respective status, are provided below.

1. Phase One – Converts all faxes and mailed orders to images via scanners in DCS Central Operations. The purpose of this important phase was to introduce court order imaging to DCS staff and develop the DCS court order imaging infrastructure. This phase did not affect the county clerks. This phase is now complete.

2. Phase Two – This phase simply redirected the clerks' DCS fax machine phone number to a new Fax Server phone number. This required the clerks to add bar code separator pages between faxed court order documents in order for the DCS Fax Server to recognize the documents. This phase saved DCS Central Operations the chore of having to sort and manually scan the court order documents. An unexpected twist was discovered when it was revealed that the clerks with imaging systems could not easily add the bar code separator sheets when using the fax out features of their imaging systems. This excluded the clerks with imaging systems from the Phase Two development. Phase Two is now complete.

3. Phase Three – During this phase, DCS negotiates with the county clerks who have imaging systems and arranges for those counties to export directly out of their imaging systems into the DCS imaging system. Depending on the county capability, DCS may also import shared index data. DCS has successfully tested this with Pierce County. Pierce County has been using this method since April 5, 2002. The State now has many more counties converted to this method. Negotiations with the county network staff will be successful, but it takes time to address security concerns. It is estimated that the clerks with imaging systems will be converted by March 2003. Benefits to the DCS Central Operations Unit will include the elimination of sorting and scanning the paper. The benefits to the county will depend on how the county's imaging system workflow is designed and the current process to get court order documents to the DCS Central Operations Unit. These county benefits may range from neutral to substantial, depending on the county. Overall benefits will include quicker delivery of child support orders and faster DCS establishment and enforcement actions.

4. Phase Four – During this phase, DCS-provided fax machines will be replaced with scanners. This solution is intended for those counties who do not have imaging systems. The State has identified 18 counties that fit this criterion and all have been contacted. Nine of them are ready to make the change right now. The State is either negotiating or waiting for responses from the other nine. Process should be complete no later than June 2003, if all 18 remaining counties are converted to this solution. Presently, Snohomish County is using this solution and the feedback received has been very positive. For counties that have been laboring over fax machines, this is a welcome solution. It also helps the DCS Central Operations Unit since staff will no longer have to sort and scan the paper. In addition, the child support orders are delivered faster resulting in quicker child support enforcement activities.

To summarize, if all goes well with the acquisition request, Washington should be able to complete Phase Three by March 2003 and complete Phase Four by June 2003. For counties that are eligible for Phase Four, two counties per month should be converted beginning October 2002.

Current status: 75% of all court orders are now imported from the counties to the system; 100% of all mail is imaged; 50% of the back file conversion of case file document is completed.

For counties that fax court orders to the state, data exchanged currently consists of a bar code separator page for each faxed court document that identifies the document.

For those advanced counties that are exporting the document directly out of their imaging system, those data elements that are relevant to the statewide child support system (such as date filed and cause number) are indexed and that information is inserted into the child support system directly. The electronic court order is transmitted electronically to the DCS imaging system.

To fully automate setup of the child support cases, it is necessary to expand the number of data elements indexed from the court order. This task is currently being investigated. There are strict rules about how an order is formatted, so court orders are fairly standard. OCR technology is being considered to identify the particular section that specifies order amount (for example) and to capture the value specified and then automatically transmit it to the child support system.

The data requirements that specify how the data would be mapped will be considered during the design of the indexing capability.

Imaging

ESA - Division of Child Support (DCS)

SEMS - IM

Document Type
Case Correspondence

40% Imaged

Interstates centralized per federal and state law

Images = 597,890 per month *(number will drop once back file conversion is complete)*

Prep documents and place bar codes by sub doc type in front of doc

Back-File

Case Mail

Prep case file documents

Case Mail

Scan Case Correspondence

Document Collation Manager
Automated process that reads barcodes, sorts documents, converts multi-page tiffs

Mail

Semi-auto Indexing

Documents Routed automatically to members of workgroup

Auto indexing for back-file and forms

DONE
All staff retrieval via SEMS WEB

Document Type
SEDS Checks EFT Docs

80% Imaged

Centralized for system efficiency

Images = 2,481 per month

SEDS or EFT

Scan SEDS or EFT docs

Index

DONE

Document Type
Returned Checks

100% Imaged

Centralized per bank contract

Images = 3,961 per month

Returned Checks

Scan Returned Checks

Document Collation Manager
Automated process that reads barcodes on checks and sorts the documents

Automatic Indexing

Documents Routed automatically to members of workgroup

DONE
All staff retrieval via SEMS WEB

Paper Mail or Hardcopy Facsimile

Secured Area (surveillance cameras, restricted area)
Use rapid extraction Opex Machines, Enveleopeners, and Joggers
Sort Mail by Document Type

NOTE: Some Court Orders are received via imports from County Clerk Imaging Systems, via fax server, direct scanning into our system by county clerk, fax machines, and mail.

Court Orders

Prep Paper Orders For Scanning

Input Method 4
DCS Scan Orders

Automated Safe inventory log and destroyed check report

Operator updates status

Export Status to SEMS

Input Method 3
Clerk Scan Orders

Semi-Auto Indexing
Master Record/ Detail

Documents Routed automatically to members of workgroup for case setup or other action

DONE
All staff retrieval via SEMS WEB

County Clerks

County Clerks

Document Type
Child Support Orders

100% Imaged

Centralized per State Law

Images = 64,632 per month

County Clerks

Input Method 2
Clerk Export DCS Import

Document Collation Manager
Automated process that reads barcodes, sorts documents, converts multi-page tiffs

County Clerks

Child Support Payments

Input Method 1
Fax Server

Document Type
Child Support Payments (not including EFT)

100% Imaged

Centralized per Federal & State Law

Images = 200,000 per month

Child Support Payments

Sort by number of pages

Sort into batches and run receipt tapes for receipt amounts

Scan Checks

Index/Deposit
Create receipt # and deposit $ to bank

Modeling Identification
"Advanced Indexing"
Enter modeling key (check account #) to automatically Identify to case for distribution

Look up payer on SEMS and get indentification information.
Manually enter payment into imaging system thereby creating future model

Model = yes?

Model = No?

Pass on Identification

Export payments to SEMS for distribution to client

DONE
All staff retrieval via SEMS WEB

Printed on 4/2/2!   ImagingsystemFlow.vsd   DCS Imaging System WorkFlow (iew - Prepared by Steve Spitzer

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ESA Division of Child Support Imaging
System Development Overview

Timeline events:

Jan 1, 1995

10/31/95 — Field Cash Imaging System Installed

3/1/97 — Central Cash Imaging System installed (FMIS)

7/1/98 — FMIS Field Implementation

10/1/98 — Non-IVD Court Orders Implemented

12/15/99 — CARS case files implemented

10/1/2001 — All court Orders Imaged

4/1/00 — PSO Cases implemented

7/15/00 — Returned Checks implemented

11/14/0 — Fife Case Files Implemented

Pierce County converted from fax to export

3/22/02 — Tacoma Case Files Implemented

5/15/02 — Returned Checks Upgraded

6/1/02 — Returned Check Imaging from fax to export

4/21/02 — Olympia Case Files Implemented

8/15/01 — County fax server migration begins

5/1/02 — Snohomish County fax to scanner conversion

Dec 31, 2003

1995 - Assignment to complete centralization of cash, locally developed imaging system installed in field offices
1996 - Gained ESA/DSHS/DIS approval to purchase more robust imaging system for Cash and Central Operations
1997 - Installed new imaging system in Cash (FMIS)
1998 - Upgraded field offices to new imaging system (FMIS)
1999 - Began prototype for court orders with Non-IVD cases; Converted CARS case files to imaging system
2000 - Expanded imaging to PSO case files; Implemented Returned Check Imaging and other misc document types
2001 - Expanded Court Orders to all IV-D orders, converted as many counties as possible to fax server option. Case File w/Fife
2002 (First Half) Pierce County from fax to export; added Olympia and Tacoma to Case Files; converted Snohomish from fax to scanner
2002 (Second Half) Plan to expand case files to more field offices and indentify and converted more counties to appropriate solution
2003 - A continuation of last half of 2002

Notes on Interview with Dave White, Child Support Specialist (CSE Call Center)
Bureau of Partner Services, Department of Workforce Development
State of Wisconsin
Date: 2/21/2003

Current exchange is a paper process. CSE agency is co-located with the courts.

Office of the State Courts recently finished a two-year e-filing study. Study recommends a pilot in appellate and circuit court. Contacts regarding study: Teresa Owen, 608-261-4301 and Andrea Olson (Clerk of Court Automation Project [CCAP] technical staff member), 608-264-6908.

Completed a cost/benefit analysis for a KIDS/CCAP interface in 1994; didn't proceed primarily because of lack of funding and also determined it wasn't worth the effort.

Order processing – CSE agency staff involved in court cases, present in court. They generate the paperwork and file with the court.

Interstate: use CSENet. Incoming request comes to state office and is sent to counties. Other states do not send requests or communicate with courts directly.

E-filing would have a significant impact on the agency.

Bureau of Child Support, Operations Section, KIDS contact – Steve Buechner, 608-267-9539.

Notes on Interview with Dan Floeter, Family Court Commissioner; Kerry Widish, Court Manager; Donna Wills, Net Administrator; Gail Richardson, Madison County Court Administrator
State of Wisconsin
Date: 2/26/2003

Existing capability of electronic exchange from court perspective:

- CSE agency emails calendars to courts

- KIDS access – have look-up capability, can schedule court dates, generate notices, update addresses, look for an order and the order amount, review and print payment records, do income assignments, see case notes.

- Started imaging last year. Imaged database contains family and paternity court documents (stored on county server); available for users to view after scanned; IV-D also has access to the database.

Imaged database process – orders are generated by KIDS; hard copies are sent to court and those are imaged; Dane County server stores the images; not everyone has passwords or direct access on their desks.

Courts system – county; KIDS – statewide. Office of State Courts uses CCAP system. Office staff on county network. Support enforcement staff on county network. Paperwork is exchanged between state and county systems.

Benefit of electronic interface:

- Is suspect because they would have to change the way they do business. Have access to KIDS for what they need.

- Study for electronic filing indicated there would be a benefit for clerk's office, public defenders, attorneys with respect to added efficiency; child support was not mentioned in the discussions. Study going on to the State Supreme Court; will be 2 years before it is a reality.

New courthouse is being built and will be finished in 2005. Offices will be wired for KIDS so they will not lose any access they currently have. Will have access to imaged orders for newer cases where orders have been imaged. May change the way they do things; electronic filing may be available from CCAP which would change the environment.

Suggestion was made to talk to someone in CCAP about the electronic filing study.

D. NATIONAL SURVEY OF COURT INFORMATION TECHNOLOGY STATUS

NATIONAL TASK FORCE ON COURT AUTOMATION AND INTEGRATION

COURT TECHNOLOGY SURVEY REPORT
OCTOBER 18, 2001

A JOINT EFFORT OF:
THE BUREAU OF JUSTICE ASSISTANCE
CONFERENCE OF STATE COURT ADMINISTRATORS
NATIONAL ASSOCIATION FOR COURT MANAGEMENT
NATIONAL CENTER FOR STATE COURTS
SEARCH

CONDUCTED IN COOPERATION WITH:
NATIONAL CONSORTIUM ON COURT AUTOMATION STANDARDS
COSCA/NACM JOINT TECHNOLOGY COMMITTEE
FORUM FOR THE ADVANCEMENT OF COURT TECHNOLOGY
INDUSTRY WORKING GROUP

AEQUITAS, INC.

GOALS

The goals of the Court Technology Survey were:

- To identify what vendors believe they and the courts can do to enable vendors to do a better job of delivering information technology to the courts; and

- To identify what courts believe they and the vendors can do to facilitate court procurement and use of information technology products.

This survey builds on recent technology surveys conducted by the Standish Group; the Forum for the Advancement of Court Technology (FACT); and the results of a benchmarking survey of 80 jurisdictions conducted by Sacramento County, California and reported in the July/August **Court Technology Bulletin** published by the National Center for State Courts. These previous surveys pointed strongly to a need for improved court information technology project management. Although project management, collaboration among stakeholders, and project governance and politics were not ranked as high in this survey as in those prior surveys, this survey focused primarily but not entirely on procurement. There is strong agreement about the importance of court leadership, and clear, concise goals and vision up front.

PARTICIPANTS AND METHODOLOGY

The Court Technology Survey invited respondents included more than 100 court technology leaders and more than 100 vendor representatives with extensive experience in the procurement and implementation of court technology. Attachment I lists the survey population, provides a copy of the two survey forms, and reports on the survey methodology and the seven member project Advisory Committee and others who advised Aequitas on the survey instrument, methodology, and results. To briefly review:

- Sixty-four (64) court leaders and fifty-four (54) vendors completed the Court Technology Survey. Although court respondents were primarily AOC staff (36%) and leaders from larger trial courts (42%), the survey arguably reflects views of court IT leaders nationwide. The remaining 22% of court respondents were state chief justices (6%); leaders of general jurisdiction courts with seven or fewer judges (6%); limited or special jurisdiction courts with more than seven judges (6%); and limited or special jurisdiction courts with seven or fewer judges (3%).

- Vendor respondents were primarily from companies specializing in: case management (13%); electronic filing (11%); technology consulting (13%); and integrated justice (11%); but also included many (20%) who are not directly involved with court IT.

- The Court Technology Survey (Survey) used matched questions but distinct surveys. Court leaders and vendors answered ten multiple choice questions six of which encouraged narrative responses. The two survey forms are provided in Attachment I.

THEMES

The strongest themes that emerged from the survey include:

- Consistency in court and vendor perceptions with some interesting differences
- Both court leaders and vendors see the relationship between courts and court technology vendors as positive with, in the main, the vendors being slightly more negative
- Perceived problems with court leadership of technology projects particularly among vendors
- Dissatisfaction with procurement process
- A perception among court leaders that vendors don't understand courts well enough
- Courts and vendors don't agree entirely on who is responsible for problems with court technology products and services or their quality as compared to other markets
- Differences in the desirable focus of court technology projects with vendors being decidedly more in favor of focus on courts and remedies to court problems and courts finding more importance of focus on the entire justice enterprise with appropriate attention to the court
- Support for the National Consortium on Court Automation Standards functional standards project is very strong with court leaders but not vendors (although only about one third of the vendor respondents provide case management systems).

Consistency in court and vendor perceptions with some interesting differences

Overall both courts (See tabulated results Attachment II Question 2 (Q2), 86%) and vendors (Q2, 77%) see relationships as "okay" to "extremely good," with vendors slightly more negative. Both agree on need for clearer goals (Q4, 21%), and improved court leadership (Q8, 23%). Significant however is a difference about the focus of court technology solutions. Many more vendors (Q10, 36%) believe projects should be more focused on courts and specific court remedies than court leaders (Q10, 15%). Both courts and vendors believe that vendor understanding of courts is a problem (Q5, 23%) with the court more clearly identifying this as a problem (Q9, 26%) than vendors (Q9, 9%).

Perceived problems with court leadership

Both courts (Q8, 25%) and vendors (Q8, 20%) see weak court leadership as a common cause of failure. Courts (Q8, 22%) and vendors (Q8, 28%) say courts need clearer scope and goals. Vendors (Q6, 34%) think courts cause most problems in procurement process due to court procurement practices, lack of expertise and poor project management. Courts (Q6, 46%) think problems are caused equally by vendors and courts, with an additional cause being unclear scope or requirements (Q8, 22%). Somewhat surprising, there is some but not strong support for the need to improve court business processes and project management. (See Attachment II, Qs 4, 5, 8 and 9).

Dissatisfaction with procurement process

Vendors are more interested in changing or eliminating the RFP process, including loosening requirements to pick the low bidder (Q4, narrative responses). Courts (Q4, 17%) also think they need better RFPs. Both (Q5, 23%) think court procurement can be improved with better vendor knowledge of courts. Court leaders (Q5, 17%) are much more likely to see lack of vendor candor about outcomes as a problem. Vendors (Q5, 27% and narrative comments Q9) are much more supportive of active public private partnerships than court leaders. (But note the exception of one vendor comment on Q9. " DON'T include vendors in standards. You will have the market driving needs. You want the needs driving the market.")

Vendors don't know courts

Vendors need better knowledge of courts, but court respondents (Q9, 26%) are much more supportive than vendors (Q9, 9%) of increased vendor understanding of courts. Vendors (Q9, 23%) want to participate in developing standards and to be involved with partnering. And, as reported above vendors see **less** need for focus on court interdependence with entire justice system than do court leaders (See results, Attachment II, Q10).

Courts and vendors don't agree on who is responsible for problems with Court IT or the quality of court technology products as compared to other markets

Vendors (Q6, 45%) see courts as greater cause of problems. Courts (Q6, 46%) are more likely to see shared blame for problems. Vendors (Q7, 72%) think that court products are of better quality than other markets. Courts (Q7, 49%) think Court IT products are worse than in other markets.

Support for the National Consortium on Court Automation Standards functional standards project varies

Most court respondents (Q3, 88%) think Functional Standards are somewhat or very beneficial. There appears to be wide spread knowledge and support for the project in the courts community. Vendor respondents are less enthusiastic with an unbalanced split between somewhat and very (Q3, 59%), and not very beneficial (Q3, 39%) (although again, less than one third of all vendor respondents are case management vendors). Use of functional standards as a means to improve procurement has strong court leadership support (Q4, 21%) but only 4% (Q4) of the vendors supported this idea.

PROCUREMENT

Court procurement

Courts (Q4, 19%) and vendors (Q4, 23%) agree that clearer goals and vision are important, with some (Q4, 11%) but not strong support for improved project management. To repeat courts (Q4, 21%) strongly supported functional standards, but vendors (Q4, 4%) do not find them important. Vendors (Q 4, 10%) would like to see budget limitations in the RFP, have more time to respond

with proposals (Q 4, 13%), or just do away with that whole process. Courts would like to see more cooperation among agencies – using model contracts, hearing from others about what they have learned from the proposal process, and sharing authorized vendor lists (see Q4, narrative responses).

Vendors' responsibility for procurement

Both courts (Q5, 25%) and vendors (Q5, 21%) agree that vendors need to know more about and better understand the courts. Many vendors (Q5, 27%) want active partnering. Vendors (Q9, 23%) and courts (Q9, 20%) both see the desirability of including vendors in standards development. Courts see increased candor from vendors about results (Q5, 17%) as more important to vendors (Q5, 7%). In narrative comments courts (Qs5 and 8) report that they are sometimes misled about what vendors can accomplish in the proposed timeframe and budget and that they have been oversold. Both vendors and courts addressed issues outside the court/vendor relationship, with comments about the problems of procurement and other laws that negatively impact the procurement process. (See narrative comments Qs5, 6, and 8).

COURT TECHNOLOGY PROJECTS AND PRODUCTS

Private sector court technology products and services

Courts and vendors split decisively on this issue. Courts (Q7, 49%) feel quality is lower than in other markets. Vendors (Q7, 62%) perceive that the quality of their court products is better or equal than what is delivered to other markets.

Causes of court IT project failure

Courts and vendors agree that the two biggest problems are unclear scope or requirements (Q8, 25%) and weak court leadership (Q8, 23%). There were minor disagreements over the quality of project management (courts (Q8, 16%) see it as worse than do vendors (Q8, 11%)), the scope of projects (courts (Q8, 13%) think they are too large), and funding expectations (vendors (Q8, 11%) see them as unrealistic).

Best focus of court technology projects

More than half of all respondents (Q10, 54%) think the focus should be primarily on the court, with automation solutions considering how the entire justice enterprise is impacted. However, vendors (Q10, 36%) are more likely to see the benefits of focus on the court and specific remedies for court problems than courts (Q10, 15%). As compared to vendors (Q10, 13%) courts (Q10, 23%) tend to look more to the entire justice system.

Tie to other research

Survey respondents were apparently less supportive of the importance of project management and project governance than what one might anticipate from the results of the Standish Group,

FACT, and Sacramento County surveys. Even given concern about court leadership, though, the Court Technology Survey had little or no mention of a need for executive level champions. Taken as a whole the survey results demonstrated strong support for improved scoping and definition up front, improved IT RFPs, better court leadership, and more user buy in.

Needed future research

While efforts to analyze data from respondent sub groups of vendors (e.g. court IT and related versus other) and court leaders (e.g. state level versus trial court leaders) revealed little, future work should more sharply delimit the study population. The best focus would be vendors and court leaders with recent and significant experience bringing up, or in the process of attempting to bring up, case management systems and closely related national, state, and local projects. When future research is carried out there is a need for survey of more than one representative of each vendor and some effort to see if court attitudes vary by the level of responsibility of court leaders.

Important gaps in our understanding of several issues demand attention if identified problems are to be better understood and addressed. What is it about court leadership that is weak? And what specific problems does weak court leadership cause? What must court leaders who are undertaking court technology know and be able to do if their technology projects are to be successful?

Failure to provide clear concise goals and vision up front appears more important than project management and governance. Is this because there is lack of court experience with and understanding of what IT projects involves? Is there a need to manage expectations and to define more carefully project stages and deliverables? Are there good examples of jurisdictions that have avoided these problems? Does poor initial project definition doom project success from the start? Or can initial failure be overcome?

Court leader perceptions that vendors do not understand courts and differences in the perceived quality of court technology products as compared to other markets is an important focus of future work. What exactly don't vendors understand? What is the basis for perceptions about the poor (court) and high (vendors) quality of court technology products and services?

Despite literature and experience to the contrary, there was an almost total absence of mention of the importance of "re-engineering" and improving court work flows prior to, coincident with, or after court technology projects (although again, the focus of this survey was ;rimarily but not entirely focused on procurement). Is re engineering a theoretic article of faith with little practical importance?

Procurement practice and policy emerge as critical. A carefully delimited survey population is needed to flush out more completely how procurement can better ensure the best products at the lowest possible price. Should low bid always win? If we are to reduce the unnecessarily high cost of responding to RFPs, to partner, and to share and/or to reduce the risk for vendors, what must be done?

The results of the Court Technology Survey are interesting and can and should be used to improve the dialog within the court and justice enterprise community as well as between vendors and court users about how to improve court performance through court technology. But there is clearly a need both for informed discussion of the results and additional research to clarify what we have learned and, more important what it means.

ATTACHMENT I

SURVEY PARTICIPANTS, SURVEY FORMS, METHODOLOGY AND PROJECT OVERSIGHT

PARTICIPANT LIST

Court Survey

Craig Alston
Hon. James A. Bascue
K. Kent Batty
Mercedes Bauermeister
Tamara Beard
Jerry L. Benedict
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Hon. Duane Benton
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Terrie Bousquin
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Marlene Davis
Zelda M. DeBoyes
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John Doktor
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Sheila Gonzalez
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Michael Hise
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Suzanne James
Michael K. Jeanes
Dennis Jones
William Kelly
Michael A. Kilborn
Fred Klunder
Gary L. Krcmarik
Richard Lewis
Hn. Jonathon Lippman
David Maeshiro
Ernest Mazorol
Dottie McDonald
Mary Campbell McQueen
Dennis Metrick
John P. Montgomery
Sandra R. Montoya
Gregg Moore
J. Denis Moran
Frederick Ohlrich
Carol Lee Ortman
Michael Planet
Hon. Ronald Quidachay
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Karl E. Thoennes
Ronald Titus
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Richelle Uecker
William C. Vickrey
Hon. Annice M. Wagner
Greg Walters
Robert Wessels
Yolande E. Williams
John Woods
Patricia Yerian
Robert Zastany
Hon. Thomas A. Zlaket

PARTICIPANT LIST

Vendor Survey

@Court
AAERT
AccessJustice
ACS
activePDF, Inc.
AllianceOne
Appriss, Inc.
Audex, Assistive Listening Systems
AudioScribe Corporation
Berlitz GlobalNET
Biamp Systems
Bull Information Systems
CBIZ, Trilogy Associates, Inc.
CGI
ClaimResolver, Inc.
Compaq Computer Corporation
Computas NA, Inc.
Computing System Innovations
Conley Canitano & Associates, Inc. (CCAi)
counterclaim
Court Specialists, Inc.
Court Vision Communications, Inc.
CourtLink
CourtSmart
cxcorporation
DAISI
Digital Infrared Accent, Inc.
Digital Solutions, Inc.
DOAR
DV Services, Inc.
EDP Software
E-Filing.com
Electronic Interiors Inc.
Evans CaseLoad
ExhibitOne Corporation
FACT
Fentress Inc.
Frank Solutions Inc.
FuGEN Inc.
FTR, Ltd.
Heimann Systems
Hershey Business Systems
HTE, Inc.
Image America, Inc.
Imaging Technology Group
Impact Solutions Corporation
Infax, Inc.

John Jordan
Mary Lutz
Brian Taugher
Lynn Langnas
Toni Hauger
James Perasso
Scott O'Neill
Charles Beatty
Phillip Kaufman
Tracy Rouchard
Read Wineland
Steve Syverson
Gary Wolfe
Will Sellenraad
Donald Jernberg
Julie Schriefer
Bill Wright
Holly Vanture
Tim Flowers
Shogan Naidoo
Jennifer Singleton
Don Mettert
Andee Yancey
Andrew Treinis
Steve Winsett
Maurice Collins
John J. Carey, Rj.
Sheryl Fisher
David Goldenberg
Victor Fried
Anand Kishore
Mohammed Shaikh
Kate O'Reilly
Darryl Evans & Sally Brady
Jeff Nadler
FACT Representative
Jil Patterson
Greg Trainor
Dick Cronican
Derrill Williams
Traci MacRae
Jeff Sallee
Mary Vega
Jim Nelson
Bill Hiatt
Mark Linabury
Mike Davis

Infocom Systems Services	Charles Callari
Inline, Inc.	Antonio Dias
INSLAW, Inc.	Sheila Maloney
Jano Data Systems, Inc.	Vasco Bridges
Jefferson Audio Video Systems	David Green
JURITAS.COM	Cynthia Stamstad
Jury Systems Incorporated	Ron Rutschman
Justice Served	Christopher Crawford
Justice Systems, Inc.	Ernie Sego
KPMG Consulting, Inc.	Kevin Shelly
Language Line Services	Rebecca McMahan
LexisNexis	LynAnn Bates
Loislaw.com, Inc.	Macy Hollingshead
MAXIMUS-Justice Solutions	Valerie Neal & Gary Egner
MMA Corporation	Ben Payami
Municipal Services Bureau	Thomas Giamboi
NAREX Inc.	Victoria Nann
National Criminal Justice Ref. Service	Laura Luhn
National Verbatim Reports Association	Linda Winfrey
Netgov	Jeff Bart
Newcomb & Boyd	David Duda
Nomad Technologies, Inc.	Lisa Rieken
Omni-Group Inc.	Randall Rice
On-Line Traffic School, Inc.	Hardy Warren
OSI Collection Services, Inc.	Jeff Smith & Dorothy Ronfeld
Palatine Systems Corporation	Eddie Mansoori
PEC Solutions Inc.	Marilyn Wilson
Phillips Swager Associates	Johnise Molloy
Phonic Ear Inc.	Robyn Smith
Polysonics Corporation	Dan Dillingham
Professional Computer Software Services	Gary Ownbey
PROWARE	Hyman Brown
ReadSoft, Inc.	Nichole VanderLinden
RealLegal	Rebecca Askew
Ringtail Solutions, Inc.	Carol Lish
RSI, Inc.	Gary Lee
S Square Technologies	Jay Jayaraman
SMART Technologies Inc.	Michael Ward
Software Development and Services Corp.	Lee Ryan
Sonant Corporation	Steve Margolin
Sony Electronics	Stephen Teplansky
Sound Choice Assistive Listening, Inc.	Phyllis Wald
StenoScribe.com	Nancy Cavender
StopTech, Ltd.	Steve Miller
SUSTAIN Technologies, Inc.	David Smith
Sysinct	Mike Miller
The Facility Group	Peter Rich
The Leonard Parker Associates Architects	Ray Greco
Tiburon, Inc.	Kim Anderson
Traffic School To Go on the Internet	Craig Buck
TrafficSchool.com, Inc.	Eric Creditor

Transfer Technology

Trans-Lux Corporation

Tyler Technologies

Unisys

Verilaw Technologies, Inc.

VoiceIQ Inc.

VoiceMetrix Corporation

West Group

WolfVision, Inc.

Mark Reynolds

Robyn Lefkowski

Brent Berry

Kevin Deeley

Joe Helfrich

Joanne Yo

Robert Mayo

Deanne Aamodt & Meredith Johnson

Andrea Mayer

TWO SURVEY FORMS

See following pages

COURT TECHNOLOGY SURVEY

RELATIONSHIPS AND PROCUREMENT

4. What do you believe courts can do to improve the court procurement process? (Circle the **top two** choices **only**)

1	2	3	4	5	6	7	8	9
Clearer, more concise goals, vision	Better Requests for Proposal (RFPs)	More narrow-scope projects	Use of functional standards	Streamlined bid response requirements	Specify project budget limitations	Reasonable bid response time	Better project management	Other, see below

Explain above choices or other ways not listed above.

_____

_____

_____

5. What do you believe vendors can do to improve the court procurement process? (Circle the **top two** choices **only**)

1	2	3	4	5	6	7	8	9
Better knowledge of courts	More research and development	More involvement with standards development	Active partnering with courts and other vendors	More turn-key solutions	More narrow-scope solutions	More candor about outcomes	Better project management	Other, see below

Explain above choices or other ways not listed above.

_____

_____

_____

6. The weakest link in the procurement process is: (Circle **only one**)

1	2	3	4	5
Court procurement, expertise, and project management	More weaknesses due to courts than vendors	Weaknesses are equally due to courts and vendors	More weaknesses due to vendors than courts	Vendor bidding, expertise, and project management

Comments:

_____

_____

_____

COURT TECHNOLOGY PROJECTS AND PRODUCTS

7. The quality of private sector court technology products is:

1	2	3	4	5
Extremely high compared to other markets	Better than other markets	Lower than other markets	Much poorer compared to other markets	Not sure

8. What are the most common causes of court IT project failure? (Circle **only** the **two most** common causes)

1	2	3	4	5	6	7	8
Weak court leadership	Unclear scope or requirements	Lack of user involvement	Inadequate project management	Capacity of court IT staff	Project scope too large	Unrealistic funding expectations	Inadequate infrastructure

Explain above choices or other causes not listed above.

_____

_____

9. What do you believe courts, both locally and through national organizations, can do to enable vendors to do a better job of delivering current and emerging technology? (Circle **only** the **two most** important)

1	2	3	4	5	6	7	8	9
Include vendors in standards development	Increase vendor understanding of courts	Pre-qualify vendors	Improve court business processes	Improve procurement process	Encourage courts to specify budget limitations	Better project management	Better court infrastructure	Other, see below

Explain above choices or other ways not listed above.

_____

_____

_____

10. Court technology solutions are best assured when:

1	2	3	4
The focus is on the court and specific remedies for court problems	The focus is primarily on the court, but solutions consider the impact on the entire justice enterprise	The focus is on the entire justice enterprise with appropriate concentration of effort given to the court	The focus is on the entire justice enterprise

Goals

The focus of the survey is Information Technology not acquisitions of other technology products and services. Within this context the two goals are:

- To identify what vendors believe they and the courts can do to enable vendors to do a better job of delivering information technology to the courts; and

- To identify what courts believe they and the vendors can do to facilitate court procurement and use of information technology products.

INSTRUCTIONS

Please circle your answer(s) to each question, staple or tape the pre-folded form with the address/stamp on the outside and mail it back to us before August 24, 2001.

While there is no need to provide additional comments, they may be included on a separate sheet and stapled inside and mailed with the form.

Findings

Your responses will be added to survey data from up to 250 other court and private sector IT professionals. A Court Technology Survey Report will be completed and sent to you by the end of October 2001.

National Task Force on Court Automation and Integration

A joint effort of the Bureau of Justice Assistance (BJA), Conference of State Court Administrators (COSCA), National Association for Court Management (NACM), National Center for State Courts (NCSC) and SEARCH.

Survey conducted in cooperation with the National Consortium on Court Automation Standards, the COSCA/NACM Joint Technology Committee (JTC), Forum for the Advancement of Court Technology (FACT) and the Industry Working Group (IWG).

COURT TECHNOLOGY SURVEY
c/o Aequitas, Inc.
329 Summit Avenue
Jenkintown, PA 19046

WHO YOU ARE

1. **With which type of court organization and jurisdiction do you work?** Circle **one** only.

1	2	3	4	5	6
Administrative Office of the Courts	Appellate Court	General jurisdiction more than 7 judges	General jurisdiction 7 or fewer judges	Limited or Special jurisdiction more than 7 judges	Limited or Special jurisdiction 7 or fewer judges

RELATIONSHIPS AND PROCUREMENT

2. **Relationships between IT private sector professionals and those in the courts who procure court technology services and products are:**

1	2	3	4
Extremely good, with effective communication and a high level of common expertise	Good to okay, with nominal communication and some shared expertise	Less than average, with spotty communication and uneven expertise	Very poor, ineffective communication and many gaps in common expertise

3. **Do you feel that the National Consortium on Court Automation Standards (COSCA/NACM Joint Technology Committee) functional standards project is beneficial?**

1	2	3	4	5
Yes, very beneficial	Somewhat beneficial	Not very beneficial	Not at all beneficial	Don't know about the project

RELATIONSHIPS AND PROCUREMENT

4. **What do you believe courts can do to improve the court procurement process?** (Circle the **top two** choices **only**)

1	2	3	4	5	6	7	8	9
Clearer, more concise goals, vision	Better Requests for Proposal (RFPs)	More narrow-scope projects	Use of functional standards	Streamlined bid response requirements	Specify project budget limitations	Reasonable bid response time	Better project management	Other, see below

Explain above choices or other ways not listed above.

_____

_____

_____

_____

5. **What do you believe vendors can do to improve the court procurement process?** (Circle the **top two** choices **only**)

1	2	3	4	5	6	7	8	9
Better knowledge of courts	More research and development	More involvement with standards development	Active partnering with courts and other vendors	More turn-key solutions	More narrow-scope solutions	More candor about outcomes	Better project management	Other, see below

Explain above choices or other ways not listed above.

_____

_____

_____

_____

6. **The weakest link in the procurement process is:** (Circle **only one**)

1	2	3	4	5
Court procurement, expertise, and project management	More weaknesses due to courts than vendors	Weaknesses are equally due to courts and vendors	More weaknesses due to vendors than courts	Vendor bidding, expertise, and project management

Comments:

_____

_____

_____

_____

COURT TECHNOLOGY PROJECTS AND PRODUCTS

7. **The _quality_ of private sector court technology products is:**

1	2	3	4	5
Extremely high compared to other markets	Better than other markets	Lower than other markets	Much poorer compared to other markets	Not sure

8. **What are the most common causes of court IT project failure?** (Circle **only** the **two most** common causes)

1	2	3	4	5	6	7	8
Weak court leadership	Unclear scope or requirements	Lack of user involvement	Inadequate project management	Capacity of court IT staff	Project scope too large	Unrealistic funding expectations	Inadequate infrastructure

Explain above choices or other causes not listed above.

_____

_____

_____

9. **What do you believe courts, both locally and through national organizations, can do to enable vendors to do a better job of delivering current and emerging technology?** (Circle **only** the **two most** important)

1	2	3	4	5	6	7	8	9
Include vendors in standards development	Increase vendor understanding of courts	Pre-qualify vendors	Improve court business processes	Improve procurement process	Encourage courts to specify budget limitations	Better project management	Better court infrastructure	Other, see below

Explain above choices or other ways not listed above.

_____

_____

_____

10. **Court technology solutions are best assured when:**

1	2	3	4
The focus is on the court and specific remedies for court problems	The focus is primarily on the court, but solutions consider the impact on the entire justice enterprise	The focus is on the entire justice enterprise with appropriate concentration of effort given to the court	The focus is on the entire justice enterprise

Goals

The focus of the survey is Information Technology not acquisitions of other technology products and services. Within this context the two goals are:

- To identify what vendors believe they and the courts can do to enable vendors to do a better job of delivering information technology to the courts; and

- To identify what courts believe they and the vendors can do to facilitate court procurement and use of information technology products.

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A joint effort of the Bureau of Justice Assistance (BJA), Conference of State Court Administrators (COSCA), National Association for Court Management (NACM), National Center for State Courts (NCSC) and SEARCH.

Survey conducted in cooperation with the National Consortium on Court Automation Standards, the COSCA/NACM Joint Technology Committee (JTC), Forum for the Advancement of Court Technology (FACT) and the Industry Working Group (IWG).

COURT TECHNOLOGY SURVEY
c/o Aequitas, Inc.
329 Summit Avenue
Jenkintown, PA 19046

WHO YOU ARE

1. **What type of court technology product or service does your company _primarily_ offer? (Circle only one)**

1	2	3	4	5	6	7	8	9	10
Case management software	Document management software	Electronic filing software	Voice response Systems	Revenue collection/traffic enforcement	Court reporting, audio and/or video recording	Legal research and references	Technology consulting and development	Integrated justice system software	Other, see below

Other: _____

RELATIONSHIPS AND PROCUREMENT

2. **Relationships between IT private sector professionals and those in the courts who procure court technology services and products are:**

1	2	3	4
Extremely good, with effective communication and a high level of common expertise	Good to okay, with nominal communication and some shared expertise	Less than average, with spotty communication and uneven expertise	Very poor, ineffective communication and many gaps in common expertise

3. **Do you feel that the National Consortium on Court Automation Standards (COSCA/NACM Joint Technology Committee) functional standards project is beneficial?**

1	2	3	4	5
Yes, very beneficial	Somewhat beneficial	Not very beneficial	Not at all beneficial	Don't know about the project

METHODOLOGY AND PROJECT OVERSIGHT

A Court Technology Survey draft was reviewed and edited in late July 2001 by a seven member project Advisory Committee:

Hugh M. Collins
Robert E Greeves
Mary Campbell McQueen
Ronald Titus
Henry K. Townsend, Ph.D.
Ronald D Warfield
Paul Wormeli

Others who reviewed the draft, and assisted the Advisory Committee and otherwise informed and oversaw the project were:

Francis L. Bremson
Gary R Cooper
Dale Kasparek Jr.
Laura Klaversma
Edward L Papps
Jim Pritchett
David J Roberts
Bob Wessels

After final approval, the survey was produced in hardcopy and electronic form and distributed by mail (hardcopy) and by email notice (electronically) to all invited participants to coincide with CTC VII in Baltimore, Maryland. Hardcopy forms included a pre-printed, postage-paid return mailer. Access to the electronic form was authorized through electronic recognition of the participant's email address. In addition, survey staff provided a drop-in box at the FACT CTC VII booth for hardcopy responses. This multi-media approach to survey dissemination resulted in a significant response of almost 60% of all invited respondents.

This report and the survey results data (see Attachment II) was distributed, following Advisory Committee and others review, to survey participants in early November 2001. In addition, SEARCH will disseminate the report to the court community nationwide through publication in court journals, magazines and other media.

A 2002 follow-on survey is planned to focus in greater detail on the perceived importance of project management; and on the distinctions between statewide, large and small courts and between vendors of case management systems and other court technologies.

ATTACHMENT II

SURVEY RESULTS

QUESTION 1: COURT RESPONDENTS

1 Courts (Circle only one)

	Court		Vendor	Totals
1 Administrative Office of the Courts	23	35%		23
2 Appellate Court	4	6%		4
3 General jurisdiction, more than 7 judges	28	43%		28
4 General jurisdiction, 7 or fewer judges	4	6%		4
5 Limited or Special jurisdiction, more than 7 judges	4	6%		4
6 Limited or Special jurisdiction, 7 or fewer judges	2	3%		2
Totals	**65**		**56**	**65**

TOTAL RESPONSES

121

Courts

30
25
28
23
20
15
10
5
4
4
4
2
0

Administrative Office of the Courts | Appellate Court | General jurisdiction, more than 7 judges | General jurisdiction, 7 or fewer judges | Limited or Special jurisdiction, more than 7 judges | Limited or Special jurisdiction, 7 or fewer judges
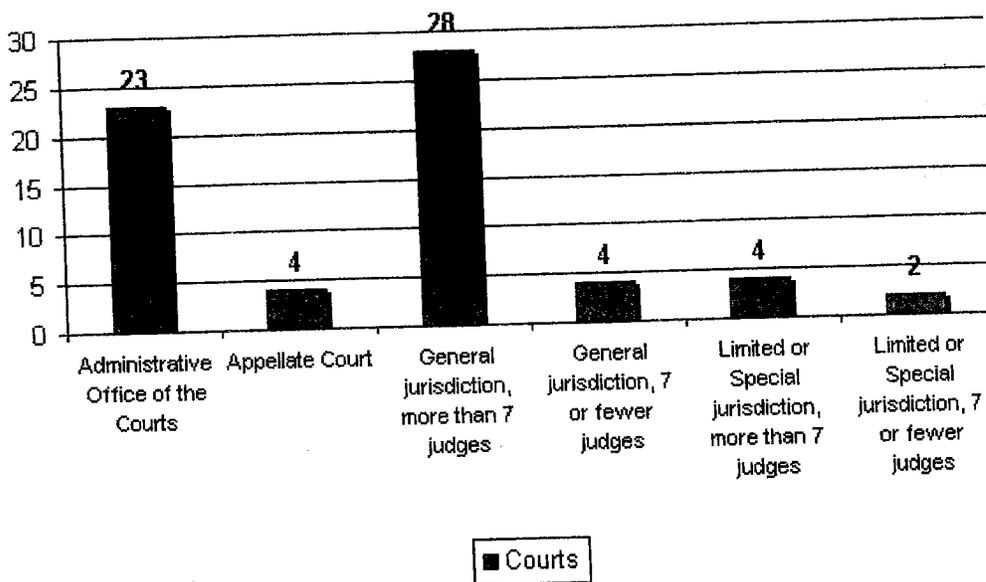
■ Courts

QUESTION 1: VENDOR RESPONDENTS

1   Vendors (Circle only one)

|		Vendor		Totals	
1	Case management software	7	13%	7	
2	Document management software	3	5%	3	
3	Electronic filing software	6	11%	6	
4	Voice response systems	4	7%	4	
5	Revenue collection/ traffic enforcement	2	4%	2	
6	Court reporting, audio and/or video recording	3	5%	3	
7	Legal research and references	0	0%	0	
8	Technology consulting and development	7	13%	7	
9	Integrated justice system software	6	11%	6	
	Other:				
	Assistive listening devices.	3	5%	3	
	Audio Systems that interface with digital recording.	1	2%	1	
	Automated Processing applications.	1	2%	1	
	Claim settlement/ADR and legal web conferencing.	1	2%	1	
	Court foreign language interpretation services	1	2%	1	
	Digital infrared assistive listening tech	1	2%	1	
	Docket Information Display	1	2%	1	
	Document scanning	1	2%	1	
	Internet driver improvement	1	2%	1	
	Judicial Automated Calendaring	1	2%	1	
	Jury management	1	2%	1	
	LED signs for lobby directories, jury rooms, calendar information..	1	2%	1	
	Long range planning services and analytical-based consulting svcs.	1	2%	1	
	Not specified	1	2%	1	
	Online Defensive Driving Courses, Online Legal Education	1	2%	1	
	Visualizer (document-camera), evidence display device	1	2%	1	
	Totals	**56**		**56**	**0**

Vendors

Vendors

QUESTION 2

2 **Relationships between IT private sector professionals and those in the courts who procure court technology services and products are:**
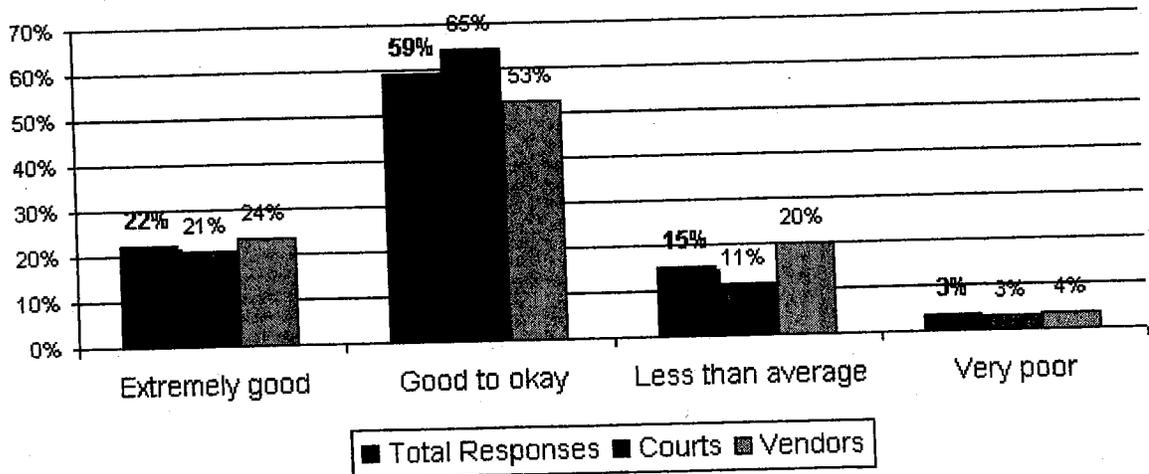
1	Extremely good
2	Good to okay
3	Less than average
4	Very poor
	Totals

	Court		Vendor		Totals	
	13	21%	13	24%	26	22%
	40	65%	29	53%	69	59%
	7	11%	11	20%	18	15%
	2	3%	2	4%	4	3%
	62		**55**		**117**	

Tallies
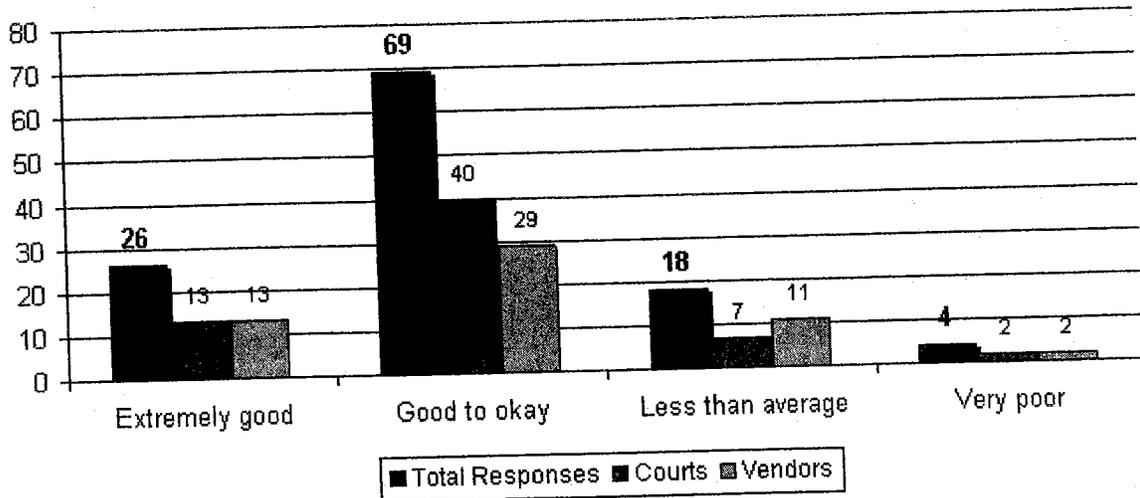
Percentages

QUESTION 3

3 **Do you feel that the National Consortium on Court Automation Standards (COSCA/NACM Joint Technology Committee) functional standards project is beneficial?**

		Court		Vendor		Totals	
1	Yes, very beneficial	42	66%	23	41%	65	54%
2	Somewhat beneficial	14	22%	10	18%	24	20%
3	Not very beneficial	5	8%	22	39%	27	23%
4	Not at all beneficial	0	0%	0	0%	0	0%
5	Don't know about the project	3	5%	1	2%	4	3%
	Totals	**64**		**56**		**120**	

Tallies

■ Total Responses ■ Courts ▨ Vendors

Percentages

■ Total Responses ■ Courts ▨ Vendors

QUESTION 4

4   What do you believe courts can do to improve the court procurement process?

(Circle the top two **choices** only)

	Court		Vendor		Totals	
1 Clearer, more concise goals, vision	26	19%	26	23%	52	21%
2 Better Requests for Proposal (RFPs)	24	17%	19	17%	43	17%
3 More narrow-scope projects	13	9%	6	5%	19	8%
4 Use of functional standards	29	21%	5	4%	34	14%
5 Streamlined bid response requirements	6	4%	8	7%	14	6%
6 Specify project budget limitations	4	3%	11	10%	15	6%
7 Reasonable bid response time	1	1%	7	6%	8	3%
8 Better project management	17	12%	11	10%	28	11%
9 Other (See following page for a narrative summary)	18	13%	19	17%	37	15%
Totals	**138**		**112**		**250**	

Tallies

■Total Responses ■Courts ▨Vendors

Percentages

■Total Responses ■Courts ▨Vendors

See below for a narrative summary of "Other" choices.

QUESTION 4 CONT.
What do you believe courts can do to improve the court procurement process?
(Circle the top two choices only)

1	2	3	4	5	6	7	8	9
Clearer, more concise goals, vision	Better Requests for Proposal (RFPs)	More narrow-scope projects	Use of functional standards	Streamlined bid response requirements	Specify project budget limitations	Reasonable bid response time	Better project management	Other, see below

9: OTHER: 31 Respondents; 34 Total Responses

Alternatives to RFP Process / Innovative Selection and Bidding		6
Court	Encourage group refined(?) contracts. Compile info re lessons learned (LL) re process; communication re experience (LL) & education & training; wide documentation re model contracts - Use statewide vendors qualified for purchase, i.e. federal & state lists	2
Vendor	Eliminate required awards to the lowest bidder and allow courts to award bids on basis of equipment specifications - Eliminate RFP process. Selection of specialized partners committed to providing solutions - RFP process long & cumbersome & often creates an air of us (vendors) & courts. Look at alternative ways to the RFP process - Less red tape	4

1: Clearer, more concise goals, vision		5
Court	Most projects are not outlined in a way that shows clear expectations - limitations need to be better identified - Government wants to do too much in too short a period of time, and use fixed price contracts. Develop long term plans due to pace of change in technology (and needs)	2
Vendor	Clearer, more concise goals, visions which are realistic both, financially and technologically - Courts need to better define their requirements and perform overall planning prior to procuring court technology - Some projects we will not bid on because they are too cumbersome, too convoluted or too cautious in their attempts to avoid risk	3

8: Better project management		3
Court	Someone needs to be on top of major procurements constantly - Poor understanding of contracts - Difference between license agreements and professional services - Good PM skills are important	3

BETTER COMMUNICATION		3
Court	We would like to know when a bid goes out.	1
Vendor	Communicate more directly with manufacturers - Improve communication between various government agencies	2

2: Better Requests for Proposal (RFPs)		2
Court	A clear RFP, with clear objectives, deliverables, expectations & responsibilities is key to success. .	1
Vendor	RFP often slanted toward a certain product. Court has already decided they want. The RFP process should be open form to "see" what is in the market	1

3: More narrow-scope projects		2
Court	Know the scope the project and narrow it to the extent the technology doesn't change before the project is implemented.	1
Vendor	ADA products are frequently an afterthought for other projects and result in a vendor with little or no knowledge about ALD's winning the bid resulting in poor or inappropriate equipment. Narrowing the scope to ALD means more knowledgeable bidders.	1

4: Use of functional standards		2
Court	Courts do poor job of defining needs. Lack of statewide/national standards increases costs as each court tries to customize	1
Vendor	Functional standards a good starting point. Need adequate training on how to use and prioritize these standards	1

5: Streamlined bid response requirements		2
Court	Procurement process cumbersome and slow	1
Vendor	Reduce vendor cost to respond. Costs reduce number of vendors willing to risk the effort to respond. Only one vendor can win, the rest loose and must eat the proposal costs.	1

6: SPECIFY PROJECT BUDGET LIMITATIONS		2
Court	Vendors misunderstand scope, exceed budget projections	1
Vendor	RFP's with requirements that do not match the financial resources available.	1

QUESTION 4 CONT.

What do you believe courts can do to improve the court procurement process?

	2
No Change Needed	1
Vendor Not try & re-invent wheel	1
Court We feel very comfortable with the process.	1
7: Reasonable bid response time	1
Court Reasonable bid response times important	1
Evaluations of off the shelf software	1
Court Have national evaluative information on existing off the shelf systems	1
Clear Acceptance Criteria and Test Plan	1
Vendor Clear acceptance criteria and test plan.	1
Increase User Involvement/Buy-In	1
Vendor Secure buy-in of all users	1
No Improvement Possible	1
Vendor Not sure improvement possible	1

QUESTION 5

5 **What do you believe vendors can do to facilitate the court procurement process?**
(Circle the top two choices only)

		Court		Vendor		Totals	
1	Better knowledge of courts	35	25%	24	21%	59	23%
2	More research and development	4	3%	4	3%	8	3%
3	More involvement with standards development	14	10%	15	13%	29	11%
4	Active partnering with courts and other vendors	20	14%	32	27%	52	20%
5	More turn-key solutions	8	6%	6	5%	14	5%
6	More narrow-scope solutions	2	1%	4	3%	6	2%
7	More candor about outcomes	24	17%	8	7%	32	12%
8	Better project management	13	9%	12	10%	25	10%
9	Other (See following page for a narrative summary)	20	14%	12	10%	32	12%
	Totals	**140**		**117**		**257**	
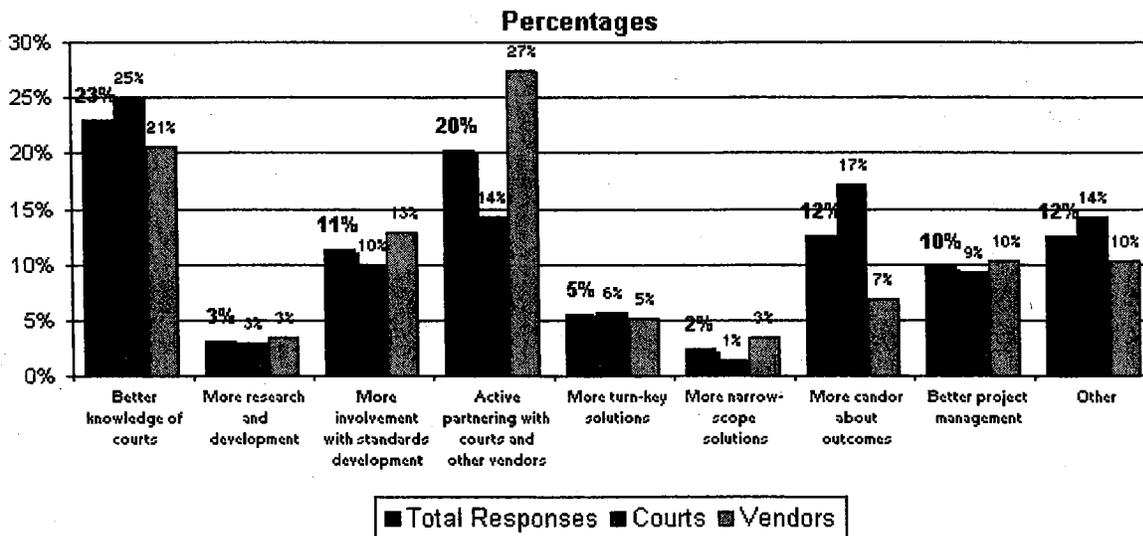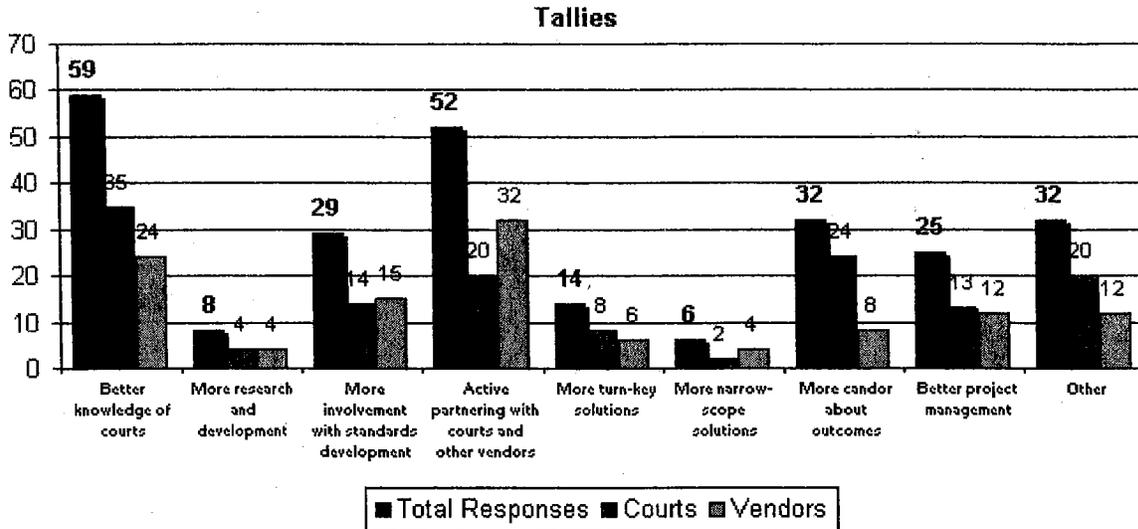
Tallies

Percentages

See below for a narrative summary of "Other" choices.

QUESTION 5 CONT.
What do you believe vendors can do to improve the court procurement process?
(Circle the **top two** choices **only**)

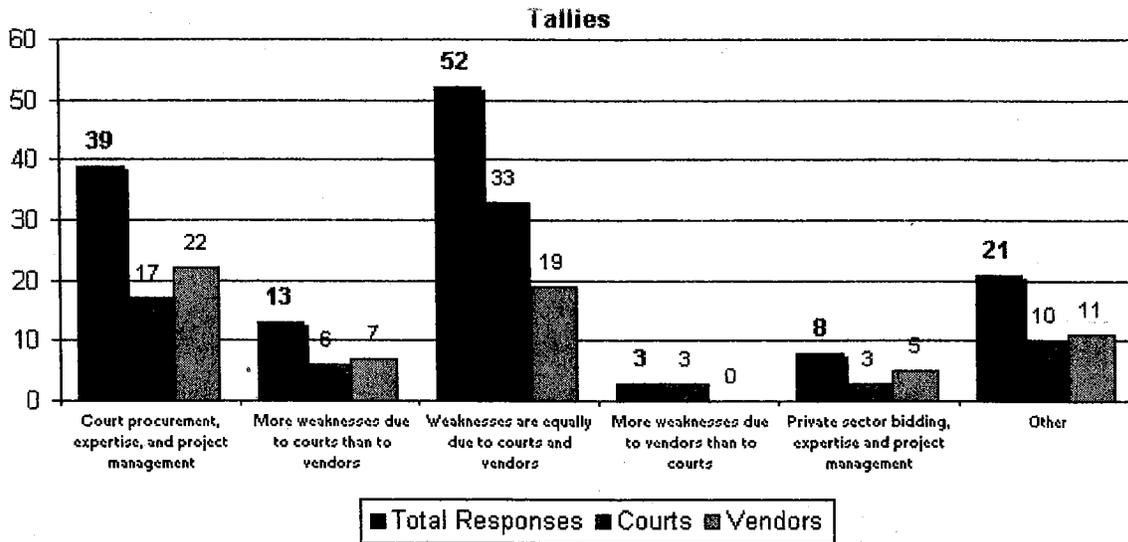| 1	2	3	4	5	6	7	8	9
Better knowledge of courts	More research and development	More involvement with standards development	Active partnering with courts and other vendors	More turn-key solutions	More narrow-scope solutions	More candor about outcomes	Better project management	Other, see below

9: OTHER: 23 Respondents; 28 Total Responses

		5
7: More candor about outcomes		
Court	Fewer promises - more reasonable expectations—Commitment & follow through on stated outcome—Don't promise the world - know what you are good at and partner out what you are not good at—Tell the truth!!!! Establish real and feasible time frames and meet them!!!—They have to "sell" their product, but some have "over-promised" what they can really do	4
Vendor	Helping the courts and themselves in managing expectations and outcomes	1
		4
BETTER COMMUNICATION		
Court	More education and training in a non-sales environment to raise the level of awareness of issues involved in implementing the technology—If we knew the problem other courts were having, we could be more helpful	2
Vendor	It is difficult for vendors to obtain information about court needs—Vendors and courts need to communicate more on common ground	2
		3
1: Better knowledge of courts		
Court	Most vendors still do not understand what the courts are all about—The user wants to know that the vendor is familiar with their business. As we involve users more and more in the process, the vendor must be able to relate and answer specific questions	2
Vendor	Better picture of the needs in all of the functions and sub-functions of the court	1
		3
3: More involvement with standards development		
Court	Standards could be helpful & their involvement would also expand their knowledge—Work w/courts to develop solutions that are based on accepted functional standards	2
Vendor	Vendors some time provide proprietary systems that are open and standards based	1
		3
4: Active partnering with courts and other vendors		
Court	Iterative development approach, flexible contract requirements would be in the interests of both vendors and the courts	1
Vendor	More involvement and partnering with independent consultants—This arms-length relationship at bidding time is self defeating. How can an accurate bid be developed without a clear *collaborative* dialogue?	2
		2
2: More research and development / Improved products		
Court	Better product - especially case management—More open solutions are needed that are specifically tailored to the courts and legal community	2
Vendor	More practical products that are easy to use and effective would result in greater accessibility for hearing impaired people—Provide customization services	2
		2
More Court Focus / Treated as Secondary Market		
Court	Many vendors consider court secondary market—More open solutions are needed that are specifically tailored to the courts and legal community	2
		2
6: MORE NARROW-SCOPE SOLUTIONS		
Vendor	Less turnkey!—The process should be broken into small, discrete phases that incrementally provide the project deliverables. This reduces the risks on all sides and increases the probability of a successful project	2
		1
8: Better project management		
Court	Better project mgmt	1
		1
Improved, Faster Bid Responses		
Court	Shorter turnaround time on bid process	1
		1
Protect Source Code		
Vendor	Be willing to put the source code in escrow	1
		1
Open Source Code / Court Ownership of Software		
Court	Provide tools to courts to do basic maintenance & modifications, open systems.	1

QUESTION 6

6 The weakest link in the procurement process is: (Circle only one)

		Court		Vendor		Totals	
1	Court procurement, expertise, and project management	17	24%	22	34%	39	29%
2	More weaknesses due to courts than to vendors	6	8%	7	11%	13	10%
3	Weaknesses are equally due to courts and vendors	33	46%	19	30%	52	38%
4	More weaknesses due to vendors than to courts	3	4%	0	0%	3	2%
5	Private sector bidding, expertise and project management	3	4%	5	8%	8	6%
6	Other (See following page for a narrative summary)	10	14%	11	17%	21	15%
	Totals	**72**		**64**		**136**	
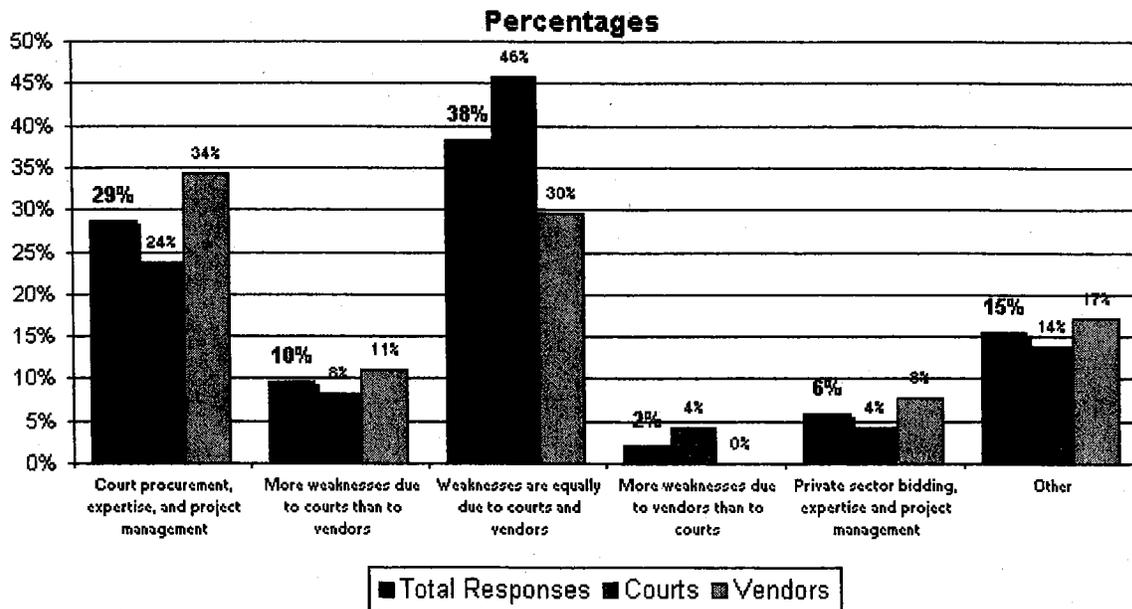
Tallies

Percentages

See below for a narrative summary of "Other" choices.

QUESTION 6 CONT.
The weakest link in the procurement process is: (Circle **only one**)

1	2	3	4	5
Court procurement, expertise, and project management	More weaknesses due to courts than vendors	Weaknesses are equally due to courts and vendors	More weaknesses due to vendors than courts	Vendor bidding, expertise, and project management

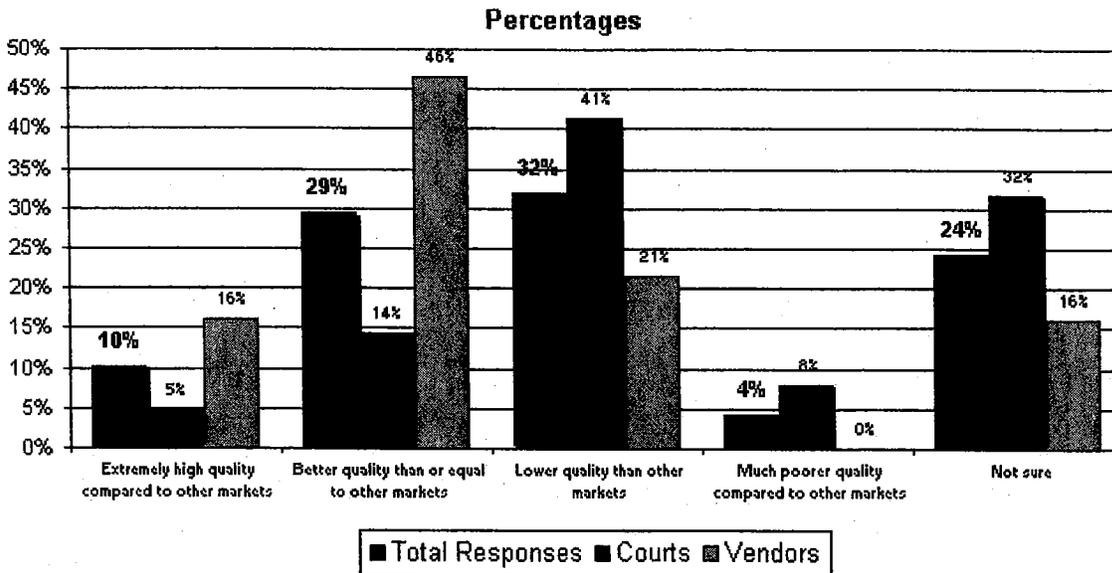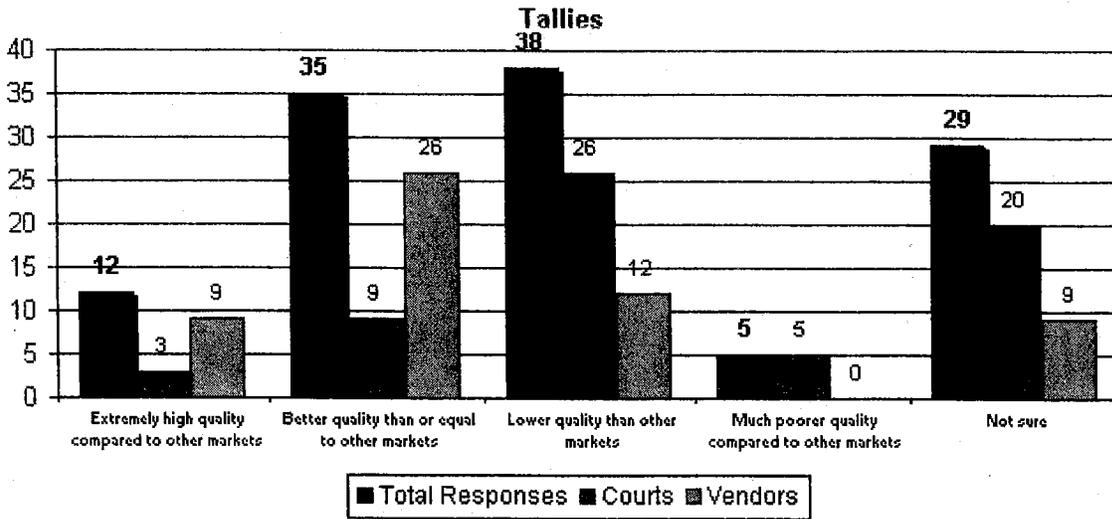| COMMENTS: 23 RESPONDENTS; 21 RESPONSES	
1: Court procurement, expertise, and project management	**7**
Court — 1 & 5 most courts depend on County IT departments too heavily for expertise—Most courts don't do the background planning necessary to affect change and vendors don't realize that change management is the biggest part of any technology project	2
Vendor — County\State Purchasing serves more as an obstacle than protector—Courts should have a clear vision of their project, have a sound infrastructure and project management. This will enable the courts to recognize and address the problems if any as they occur. Courts should have an acceptance criteria—I often call this "asking for last year's technology in next year's budget"—Lack of resources— No centralized procurement process	5
3: Weaknesses are equally due to courts and vendors	**6**
Court — As in any partnership, both sides are to blame—Both sides - Unclear/unreasonable court objectives & expectations is met by over-promoted solutions that are not meeting court requirements—Need better communication of requirements (courts) and solutions (vendors)	3
Vendor — I think both vendors & courts are caught up in the procurement process & this leads to mismanaged goals & expectations—Lack of overall understanding and responsibility of all stakeholders—The two parties need to communicate better	3
5: Vendor bidding, expertise and project management	**3**
Court — 1 & 5—Although I do think there are weaknesses on both sides, the project management skills on the vendor side are very important and critical to the success (this includes help support, training manuals, tutoring, provided (?))—Vendors interest in developing court applications	3
Government procurement rules	**2**
Court — None of the above hit the mark. Government procurement law has elevated the fairness to competing vendors higher than the public interest. Procurement law in most states has become far too cumbersome and protracted to allow nimble enough responsiveness—State and local purchasing agencies try to control court-funding authority and slow down system	2
End users more responsible for performance of court technology	**1**
Vendor — Beyond the procurement process, the actual project performance needs more participation and commitment by the end users themselves	1
HIRE INDEPENDENT EXPERT PROJECT MANAGERS	**1**
Vendor — Courts must hire independent experts to manage vendors	1
ADA issues missing the mark	**1**
Vendor — The requirements of the ADA that result in practical and useful access for hearing impaired people is often lost in the letter of the law & vendor solutions result in products that satisfy the law but do not solve the problems	1

QUESTION 7

7   The quality of private sector court technology products and services is:

	Court		Vendor		Totals	
1 Extremely high quality compared to other markets	3	5%	9	16%	12	10%
2 Better quality than or equal to other markets	9	14%	26	46%	35	29%
3 Lower quality than other markets	26	41%	12	21%	38	32%
4 Much poorer quality compared to other markets	5	8%	0	0%	5	4%
5 Not sure	20	32%	9	16%	29	24%
Totals	**63**		**56**		**119**	

Tallies

Percentages

QUESTION 8

8 **What are the most common causes of court IT project failure?**
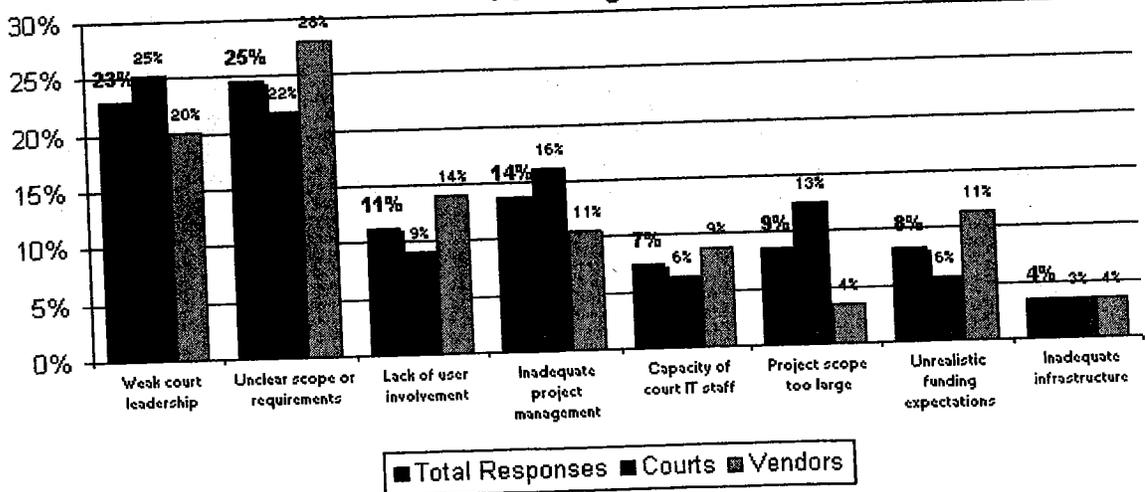**(Circle only the two most common causes)**

	Court		Vendor		Totals	
1 Weak court leadership	36	25%	23	20%	59	23%
2 Unclear scope or requirements	31	22%	32	28%	63	25%
3 Lack of user involvement	13	9%	16	14%	29	11%
4 Inadequate project management	23	16%	12	11%	35	14%
5 Capacity of court IT staff	9	6%	10	9%	19	7%
6 Project scope too large	18	13%	4	4%	22	9%
7 Unrealistic funding expectations	8	6%	13	11%	21	8%
8 Inadequate infrastructure	5	3%	4	4%	9	4%
Totals	**143**		**114**		**257**	

Tallies

■Total Responses ■Courts ▨Vendors

Percentages

■Total Responses ■Courts ▨Vendors

See below for a summary of Comments.

QUESTION 8 CONT.
What are the most common causes of court IT project failure?
(Circle **only** the **two most** common causes)

1	2	3	4	5	6	7	8
Weak court leadership	Unclear scope or requirements	Lack of user involvement	Inadequate project management	Capacity of court IT staff	Project scope too large	Unrealistic funding expectations	Inadequate infrastructure

EXPLAIN: 30 RESPONDENTS; 36 RESPONSES		
1: Weak court leadership		**5**
Court	Executive sponsorship/leadership at the court is essential to make sure the scope doesn't change, manage court expectations, and make sure vendors are on task—High leadership commitment—Courts need to get buy for the change BEFORE the RFP is issued, not after— Upper management of the court system does not seem to be involved and realize the needs of the end user of the technology	4
Vendor	Requirements and project management are over rated because more often then not they are done incorrectly. The key is mapping a solution to a process	1
4: Inadequate project management		**5**
Court	Project mgmt needs to be led by the business side of the court, not the tech side—Most court IT directors have too much on their plate and they try to be project manager also—Project management includes getting buy-in, mgmt support and user involvement—Staff/Mgmt turnover	4
Vendor	The 3 primary areas of failure tend to revolve around project management and understanding the needs and business requirements and rules. Project management will help in defining and managing timeframes, deliverables, and expectations	1
5: Capacity of court IT staff		**5**
Court	Limited resources—Control by general IT staff without court knowledge—"staff capacity"	3
Vendor	Court IT staff is overloaded with a number of projects and need help—Court must be prepared to ultimately support the product in-house	2
2: Unclear scope or requirements		**4**
Court	Not enough time put in on front end to better define requirements. You pay for this later—"unclear scope."—Marketing oversells what you will actually receive	3
Vendor	The 3 primary areas of failure tend to revolve around project management and understanding the needs and business requirements and rules	1
6: Project scope too large		**3**
Court	Again the undertaking too large of project so it becomes obsolete before implementation, and the scope. In order to maintain involvement and motivation small wins are better—Courts need to do a better job of "expectation management" with system users. Implementing a project in smaller pieces at a time will bring great percentages of success—Courts seem to try to solve all their problems through one technology application instead of looking at the various problems individually and narrowing the focus of projects.	3
All of the above		**3**
Vendor	All of the above	1
Court	All of the above—Usually combination of many of these reasons	2
Poor vendor product and capacity		**2**
Court	Poor vendor product—The biggest failure I saw was the Consolidated Justice Information Systems. We tried to adopt software from another state. The vendor could not understand what we were asking for	2
Oversold, unrealistic expectations		**2**
Court	Vendors oversell solution. Courts expect too much - are unrealistic—Vendors claim they can do everything - yesterday. Unreal & unclear expectations	2
3: Lack of user involvement		**1**
Court	Courts need to get buy for the change BEFORE the RFP is issued, not after	1
7: Unrealistic funding expectations		**1**
Court	We have been very fortunate with successful IT projects, however, projects are often more laborious than anticipated and funding is difficult to ascertain	1

QUESTION 8 CONT.
What are the most common causes of court IT project failure?

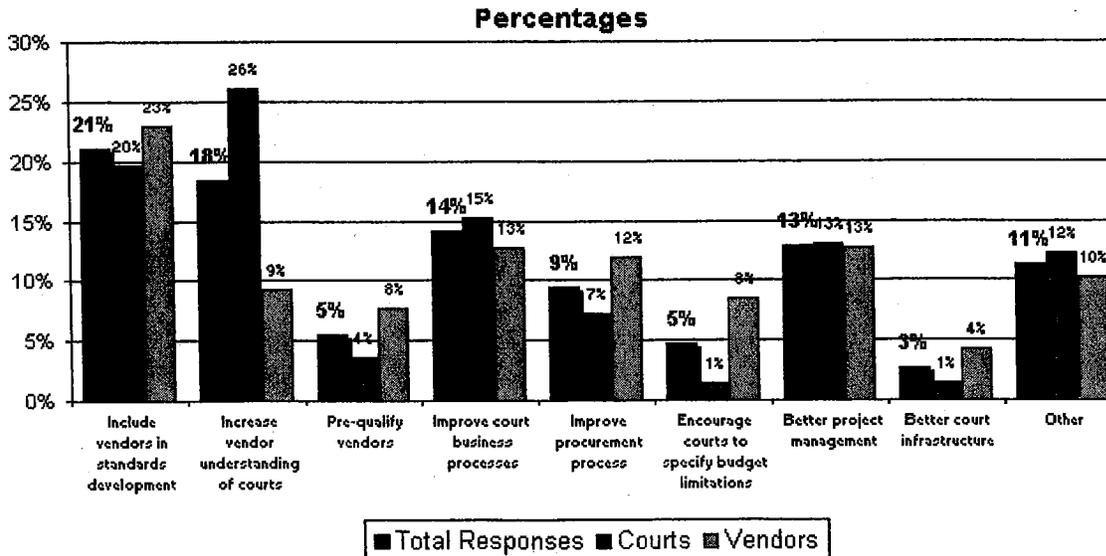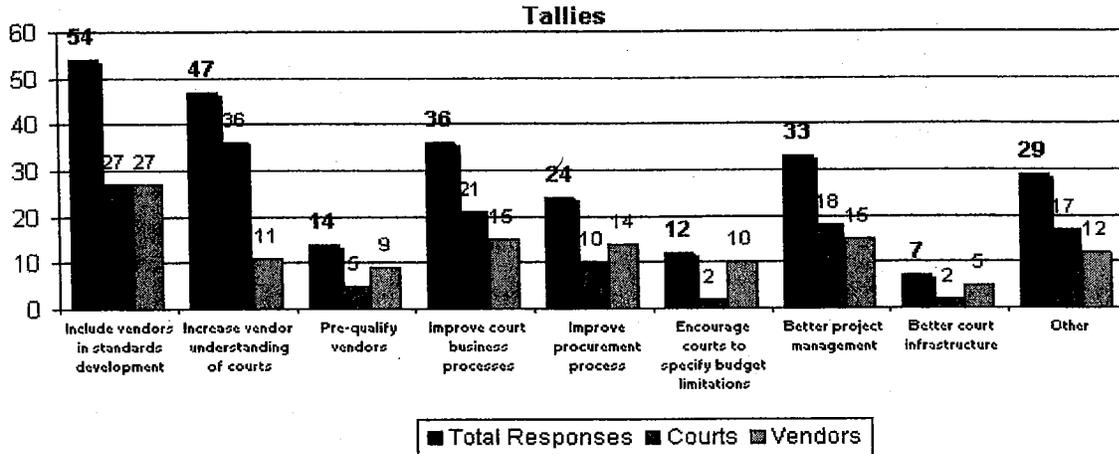|		
8: Inadequate infrastructure		1
Vendor	Use of old and/or proprietary technology	1
Inadequate court performance expectations & understanding of market		1
Vendor	Courts often are not held to the same performance expectations as private companies - & they often do not fully appreciate market economics	1
BETTER COURT TESTING, ACCEPTANCE CRITERIA AND EVALUATION		1
Vendor	Good and thorough testing of the system by the court personnel is very important. Good acceptance criteria should be established by the court. Evaluate vendor's use of technology in the development of the system	1
ADA		1
Vendor	Hearing impaired fail to ask for equipment and courts fail to publicize availability of equipment Poor vendor product Vendor oversell solution	1
No failures		1
Court	We have been fortunate in the past to avoid IT failures in our court	1

QUESTION 9

9　What do you believe courts, both locally and through national organizations, can do to enable vendors to do a better job of delivering current and emerging technology? (Circle only the two most important)

		Court		Vendor		Totals	
1	Include vendors in standards development	27	20%	27	23%	54	21%
2	Increase vendor understanding of courts	36	26%	11	9%	47	18%
3	Pre-qualify vendors	5	4%	9	8%	14	5%
4	Improve court business processes	21	15%	15	13%	36	14%
5	Improve procurement process	10	7%	14	12%	24	9%
6	Encourage courts to specify budget limitations	2	1%	10	8%	12	5%
7	Better project management	18	13%	15	13%	33	13%
8	Better court infrastructure	2	1%	5	4%	7	3%
9	Other (See following page for a summary)	17	12%	12	10%	29	11%
	Totals	138		118		256	

Tallies

■ Total Responses ■ Courts ▨ Vendors

Percentages

■ Total Responses ■ Courts ▨ Vendors

See below for a summary of Comments.

QUESTION 9
What do you believe courts, both locally and through national organizations, can do to enable vendors to do a better job of delivering current and emerging technology? (Circle only the two most important)

1	2	3	4	5	6	7	8	9
Include vendors in standards development	Increase vendor understanding of courts	Pre-qualify vendors	Improve court business processes	Improve procurement process	Encourage courts to specify budget limitations	Better project management	Better court infrastructure	Other, see below

EXPLAIN: 24 RESPONDENTS; 27 RESPONSES

		Count
1: Include vendors in standards development		**4**
Court	Would insure better expectations—More of a partnership therefore need for inclusion of vendors in standards development through this process better understanding of courts by vendors will occur	2
Vendor	Since many courts have generally allowed vendors to determine the court's requirements, it is critical that vendors have a better understanding of the standards. It is more important, however, that the courts take more responsibility in defining their own—Vendors should get more active in working with court standards	2
5: Improve court procurement process		**4**
Court	Let courts have authority to purchase—Educate both vendors & courts re: common procurement pitfalls, making assumptions, unwritten agreements	2
Vendor	Courts could do a better job of laying the groundwork ahead of time. One person in a court often gets an idea to do something and brings in a vendor, only to find out that there is not enough support to continue with the project—Courts need to award bids on the basis of product specifications other than the lowest bid. By awarding to the lowest bid the courts are purchasing sub-standard equipment and are placing doubt on the solution.	2
Improve leadership and planning		**3**
Court	Courts could do a better job of laying the groundwork ahead of time. One person in a court often gets an idea to do something and brings in a vendor, only to find out that there is not enough support to continue with the project—Courts need to do a better job of helping judges, court staff and others to see the need to change and improve as a result of that change. There is still a great deal of fear of change and justification "because we have always done it that way"	2
Vendor	We live in a time when the private sector makes advances much faster than courts can absorb - & the market economics forces decisions not in sync with court decision processes & standards	1
Better technology evaluation and dissemination		**3**
Vendor	Evaluate the technology vendors are using in the development of their systems. Can the system be updated to new technology?	1
Court	Honestly review IT/court failures and successes—Court systems, even though not ready to purchase, should always be up on technology	2
2: Increase vendor understanding of courts		**2**
Court	Increase exchanges like those that occur in FACT and make sure results get to Courts & industry	1
Vendor	Be more involved in matching solutions to court needs	1
4: Improve court business processes		**2**
Court	Setting standards and an agreed process is just as if not more, important than the technology itself—We need to standardize court processes	2
7: Better project management		**2**
Court	Standards, guidelines, training, etc. on tech project mgmt would provide valuable assistance to courts—Each project needs good project management	2
3: Pre-qualify vendors		**1**
Court	A list of vendors with products that meet standards and have proven products would save time and reduce risk for courts	1
6: Encourage courts to specify budget limitations		**1**
Vendor	Court should be more understanding of financial resources needed to complete a successful project	1

QUESTION 9
What do you believe courts, both locally and through national organizations, can do to enable vendors to do a better job of delivering current and emerging technology? (Circle **only** the **two** most important)

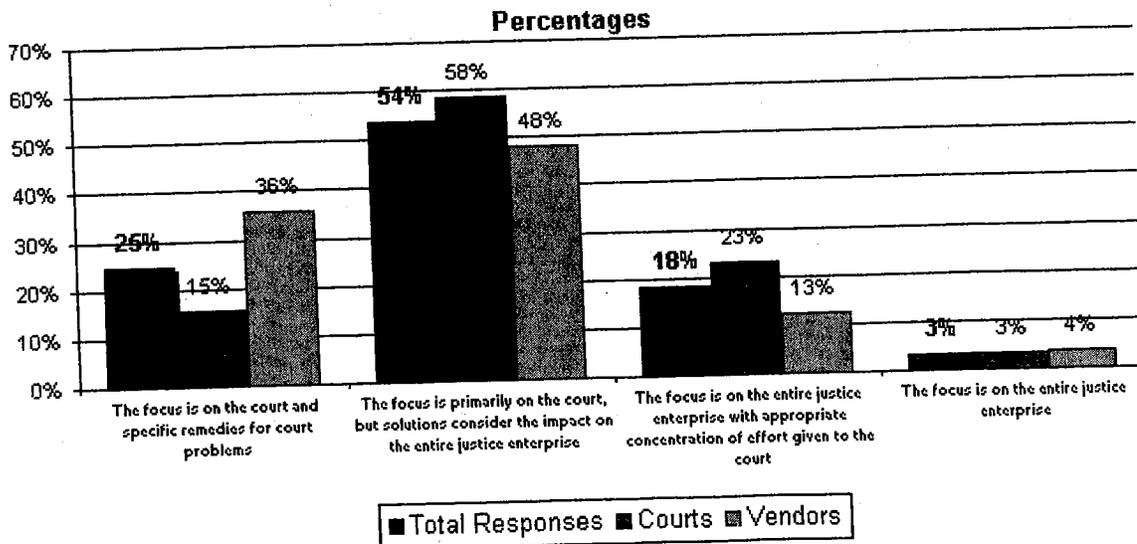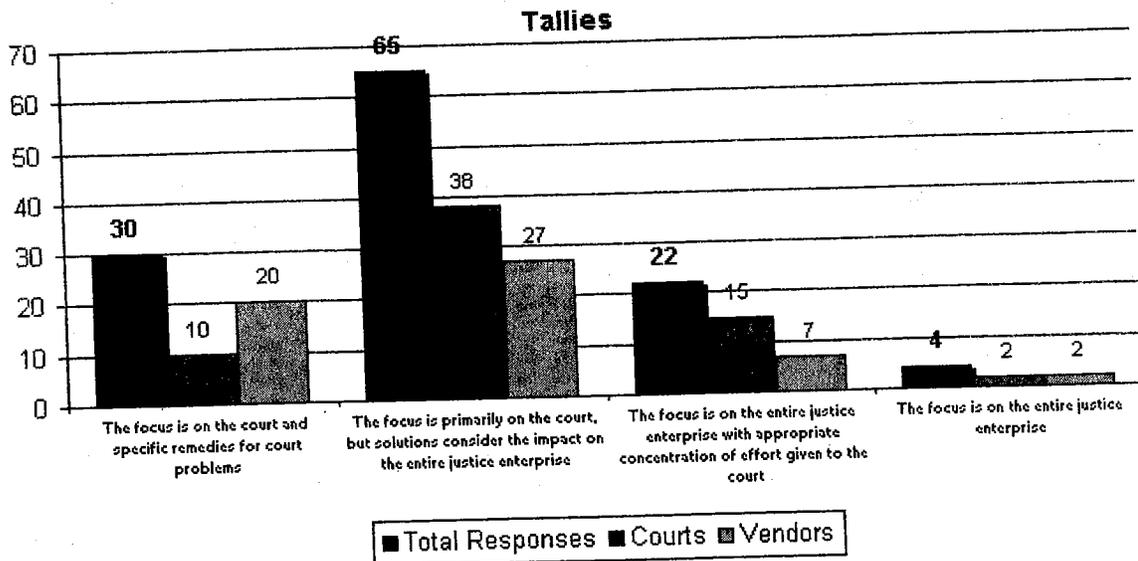|		
Don't include vendors in standards development		**1**
Vendor	DONT include vendors in standards! You will have the market driving needs. You want the needs driving the market	1
Yearly technology conferences		**1**
Vendor	Yearly technology conferences (CTC). Technology is expanding rapidly and every two years is not often enough. Interaction between courts and vendors would result in more specialized equipment for ADA compliance	1
MORE COURT OWNERSHIP OF SOLUTION		**1**
Vendor	Increase the hands-on participation by court personnel in the system implementation	1
Improved funding		**1**
Court	It seems the court system doesn't have funds to keep up with changing technology. There doesn't seem to be a relationship between vendors and courts until a purchase.	1
Increased partnership, more commitment		**1**
Vendor	These are still holding these partnerships at arms length. There needs to be more commitment than this	1

QUESTION 10

10 Court technology projects are best assured when:

	Court		Vendor		Totals	
1 — The focus is on the court and specific remedies for court problems	10	15%	20	36%	30	25%
2 — The focus is primarily on the court, but solutions consider the impact on the entire justice enterprise	38	58%	27	48%	65	54%
3 — The focus is on the entire justice enterprise with appropriate concentration of effort given to the court	15	23%	7	13%	22	18%
4 — The focus is on the entire justice enterprise	2	3%	2	4%	4	3%
Totals	**65**		**56**		**121**	

Tallies

Legend: ■ Total Responses ■ Courts ▨ Vendors

Percentages

Legend: ■ Total Responses ■ Courts ▨ Vendors

ADDITIONAL COMMENTS
(open question on electronic form only):

15 RESPONDENTS; 14 RESPONSES	
Court problems	**5**
Court	Myopic view	1
Vendor	As indicated by our responses, we found the procurement process to be cumbersome and non-uniform between courts. Project management is also commonly weak. The court either lacks any personnel with expertise to manage the project, or relies on us to do so—Court technology projects are business problems with potential technical solutions. Courts need to better understand their business needs and direct the planning and requirements phase of these projects. The IT staff should primarily play the role—Courts have to interact with multiple judicial agencies and understanding of their requirements can be very useful—The client, vendor, procurement relationship needs to drastically change before success will be reached	4
Larger justice enterprise	**2**
Court	Courts need to recognize that if we are going to make effective use of the taxpayers' dollars, we must integrate with other agencies. The days of "we are the court and you will do it our way" have to end	1
Vendor	Courts have to interact with multiple judicial agencies and understanding of their requirements can be very useful	1
Court testing and acceptance	**2**
Vendor	Development of good acceptance criteria by the courts—Development of good test plan by the courts	2
Communication and education	**1**
Court	Communication of and education on how to use is still needed	1
More narrow scope solutions	**1**
Court	If focus is on entire justice enterprise project scope is too difficult to control and manage	1
Vendor use of technology	**1**
Vendors	Use of technology by vendors in the development of their systems	1
Court control	**1**
Court	Coming from Wisconsin I believe that courts should consider in-house IT solutions that are user driven.	1
Court reporters are solution	**1**
Court	We believe that court reporters know what technology the court systems need. They depend on the audio, the visual, and they are attuned to most of the needs that keep courts running and cases flowing. Court systems need to stay current with the court reporters.	1

E. GENERAL OVERVIEW AND BACKGROUND CHILD SUPPORT XML STANDARDS

GENERAL OVERVIEW AND BACKGROUND
CHILD SUPPORT XML STANDARDS
February 22, 2002

Purpose of this Document

The purpose of this document is to provide a generalized, non-technical overview and background of XML and its use for child support information sharing with courts. It is intended for a non-technical audience with little or no knowledge of XML and the concepts underlying the use of the court's XML standards for sharing data between child support agencies and courts.

Executive Summary

"Electronic filing" is the term used by courts to refer to the use of electronic rather than paper documents in the judicial process. It encompasses not only the delivery of documents to the court in electronic form, but their use in that form by judges and court staff, by the lawyers and other participants in the case, their availability to the public in that form, and their ultimate archival storage in electronic form. In short, "electronic filing" refers to the migration from paper to electronic documents for the operation of the judicial system.

The movement of courts toward electronic filing brings promise of great benefits for child support agencies, allowing them to submit petitions and pleadings to courts and to receive court orders in electronic format. In its ultimate form, XML will allow child support agencies to receive both the documents themselves and the data to populate their databases.

However, the proliferation of electronic filing applications poses a major potential problem for users and child support agencies – the potential for having to communicate with multiple, disparate court systems. The situation could be analogized to the challenge of communicating by phone throughout your state if every town had a different type of phone system.

That is where XML (eXtensible Markup Language) comes in. XML is a means by which information is exchanged between different operating systems, applications, and data bases that are otherwise unable to talk to each other. If there were an XML standard defining the data needed for electronic filing transactions between courts and Child Support Enforcement Agencies, and all electronic filing systems used that standard, then each CSE could interact with every court and other CSEs easily. The Proposed LegalXML Court Filing Standard 1.0 was developed to serve that purpose. It is intended to define all the data needed for electronic filing applications.

Based on the work done on the XML court standard, a workgroup of courts and CSEs analyzed the current electronic court filing standard (ECFS) to determine if the court standard could support the data needed for filing to courts by child support agencies and whether the court

XML standards could support sending back orders and information about orders to child support enforcement agencies.

The workgroup has determined that the electronic court filing standard can generally support the needs of child support agencies, with the addition of some specific elements needed to fully transmit child support orders. This document provides an overview to accompany the draft specification.

What is XML?

XML stands for eXtensible Markup Language. XML:

- a means by which information is exchanged between different operating systems, applications and data bases
- a way of defining data for transmission between systems and applications.
- provides a means for sending information between computer systems using different hardware and software. By
- XML serves as a common language by which data can be transmitted, by defining the data elements to be transmitted, and the "tags" by which they are to be identified. For example, regardless of the field lengths, the type of database, a anem would be "tagged" so that it is identified as a name.

The sending computer translates the data to be sent from its unique structure into the XML structure for transmission. The receiving computer accepts the data in the XML structure and translates it from that structure into what ever form its software uses.

XML is not an operating system or a software application. In short, XML provides a common means for communicating information among incompatible automated systems.

XML has been, and continues to be, developed cooperatively by the computer and communications industries in association with the World Wide Web Consortium (W3C). The World Wide Web Consortium has developed a family of standards, protocols and conventions for the use of XML.

XML is currently being implemented by the creation of a document type definition (DTD) which can be considered like a data dictionary. The DTD defines the data elements to be transmitted, the tags by which they will be identified, whether the element is required or not, what type of data can be included in the field, whether the attributes of a field have been defined and, if so, what they are. The DTD serves as the agreed upon basis by which this data will be known and exchanged among automated systems. DTDs are highly stylized documents designed to be processed by computers and used by the computers to understand and process the information being submitted under the terms of the DTD.

DTDs are not intended to be read or known by users. The ease the data exchange between programs, but are not the means by which users will identify the data. DTDs do not

require specific databases. "Mapping" is required between an individual database and application and an XML DTD – to indicate which fields in the originating or target systems are equivalent to the "tags" in the XML DTD.
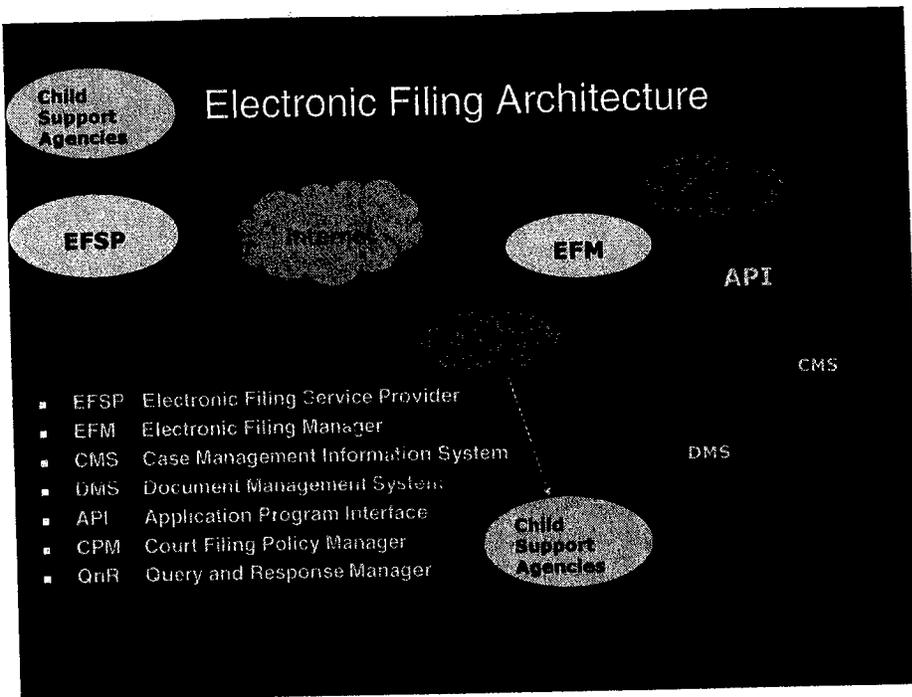
The Court Filing Standard

The Proposed Electronic Court Filing Standard deals only with the <u>data</u> needed to transmit a document to a court for filing electronically, and to receive confirmation of the filing by the court. An additional Query and Response Standard will provide the ability to transmit information back from the court to child support agencies and for child support agencies to retrieve the order electronically.

To take advantage of the Proposed Electronic Court Filing Standard, a child support agency court will need to create interfaces to send and accept the data it already has within its automated systems in the standard XML format.

In developing the Proposed Standard, the Court Filing work group had as its objective to include all information a court would need to know from whom a document has been received and what the document is. It also attempted to include all data needed by any court to create the docket entry for the document in the court's case management information system. For a document initiating a case – for instance, a child support complaint or petition -- the objective was to include all data needed to create a new case on the court's case management information system. The objective of the child support XML DTD is to structure the data that is needed for the child support agency to receive the data it needs to update its case information system.

In sending information to the court or receiving information from the court, the child support agency will provide both data and actual document(s) in electronic form. The document can be viewable electronically and the data can populate the court's database and the child support agency's database. Currently, the document can be either text, a URL pointing to the document, or a "BLOB" (binary large object). BLOBs can be images, PDFs (portable document format), or encoded XML documents. Ultimately, it is intended that the child support forms and documents themselves will be XML documents viewable as a complete and full documents. However, because the Proposed Electronic Court Filing Standard does not apply to the format of documents to be filed in a court, it does not require child support agencies to change the tools they currently use to actually create documents.

The diagram below shows all portions of the electronic filing architecture.

Electronic Filing Architecture

- EFSP Electronic Filing Service Provider
- EFM   Electronic Filing Manager
- CMS   Case Management Information System
- DMS   Document Management System
- API   Application Program Interface
- CPM   Court Filing Policy Manager
- QnR   Query and Response Manager

Relationship Between Electronic Filing and Child Support DTDs

The diagram below shows the general structure of the Electronic Filing Standard and describes its relationship to child support filings. Both **data** and **documents** are needed for the filing.

Electronic Court Filing 1.0 - Proposed Recommendation
Design Overview Diagram - 3/20/2000
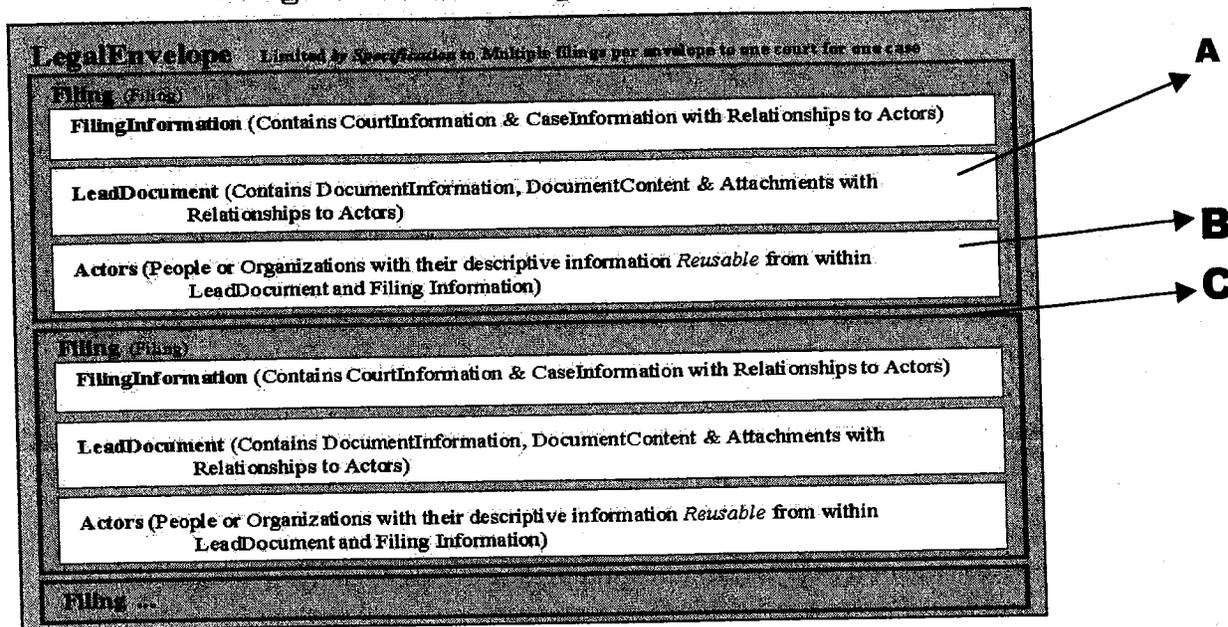
The basic umbrella or encapsulating structure for ECFS is the "Legal Envelope". The Legal Envelope contains information about who is submitting the filing and to whom responses about the receipt of the filing should be returned.

Within Section **A,** basic data about the filing is included. Included are the court to which the filing is occurring, the specific actors who are involved in the filing, and general case data that will allow the case to be identified, including the case identifying information such as the child support agency case number. This is data normally included on forms submitted by child support agencies.

Within Section **B,** the Lead Document and attachments, the child support agency will submit its cover sheet, its petition, affidavits, and any actual **documents** it files with the court. The DocumentInformation section will contain the specific **data** describing the requested action by the court, the details of the order request, the payees, the duration of the orders, etc. about the child support filings as detailed in the attached child support specification.

Within Section **C,** the child support agency will submit **data** describing and relating all "actors" (persons, organizations, businesses) related to the case. This area will identify the children, the custodial parents, the attorneys, the child support agency, the employers and other general information that is now filled out on forms when child support action are filed. The relationships of the people and organizations to the case are identified, so it is possible to indicate that a particular request for an order modification applies only to one child, all children, or specific payees.

Generic Concepts

The Electronic Filing Standard is designed to have generic data elements and to minimize the use of specific coded values. The specific coded values acceptable to a court or CSE will be enforced in other portions of the electronic filing architecture in order to provide the flexibility for use of the standard DTD to transmit data by many courts and child support agencies with different code values and terminologies

. One of the best examples of this use of generic terms rather than including extensive lists is the use of the generic "actor" element. Thus, the ECFS standard has data elements for "actor" and "role" rather than specifying elements for custodial parent, non-custodial parent, defendant, plaintiff, etc. The actor element is very flexible and will allow for the wide range of identifying criteria and numbers needed for child support. While the use of these generic terms is often somewhat confusing at first because it is very different than the way that most of us are used to looking at data within our systems, it provides extreme flexibility for communication among a variety of applications and entities that is not possible currently with other structures.

Proposed Plan for Child Support Review

[ADDED NOTE: Since this paper was prepared, LegalXML's structure has changed. The organizational framework for formal agreement on standards is in flux. The following should be understood as the general steps needed for acceptance of a standard.]

The child support proposal is being first distributed to IV-D agencies for review before submission to the Child Support Workgroup for the Court Filing legalXML Workgroup. After vetting and consensus within the LegalXML Court Filing Workgroup, XML standards are submitted for formal review through the court community (diagram follows on next page). A portion of the review process includes test sites and interoperability testing between actual courts and involved agencies. The standard proceeds through a series of formal comment and revision periods prior to acceptance as a Recommended Standard. However, throughout the review and comment process, child support agencies and courts may choose to experiment with use of the merging standards, understanding that changes may be needed as the standards change.

XML Standards Landscape
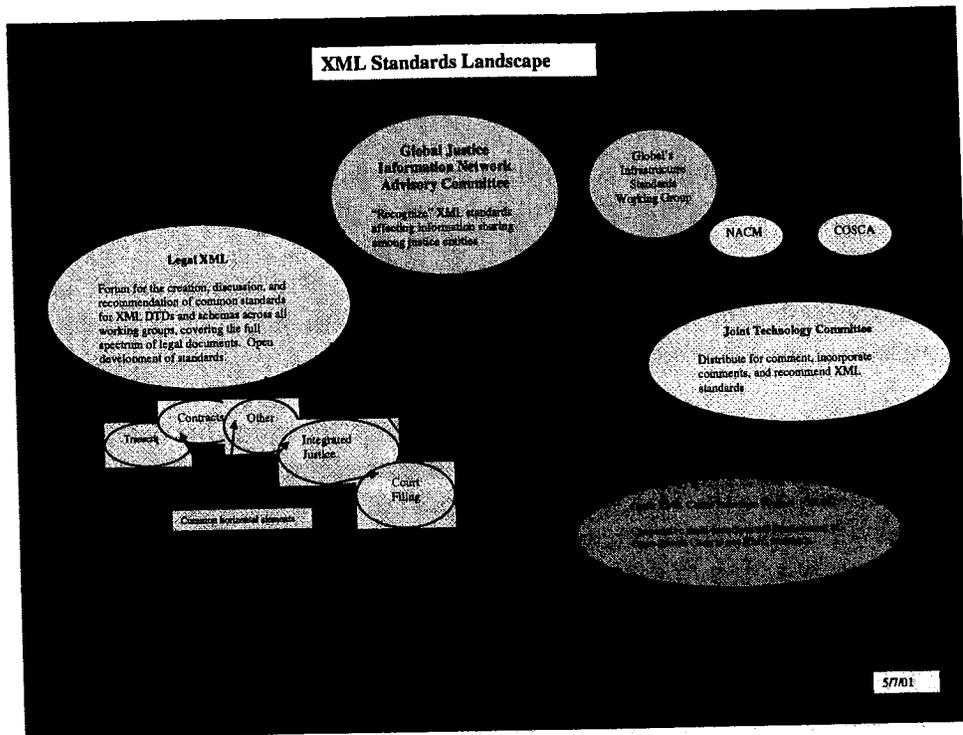
Implementation Requirements for Child Support Agencies

To effectively use the child support XML DTD for sharing between more than a single court-child support agency implementation, it will be necessary that further work be done to develop standard codes to ensure compatibility among courts and child support enforcement agencies. This work will be done through the LegalXML Court Filing Workgroup and the Child Support Workgroup.

How to read a DTD

As discussed above, the DTD is not intended for the general reading by end users. It is the behind-the-scenes data transformation and will not change the views that users see.

However, detailed review of the DTD is essential by technical staff to ensure that the data needed by each child support agency can be adequately modeled in the DTD. Therefore, instructions on how to read the DTD are provided.

Each data element has a content model which contains the "tag" by which the data is identified and what content is allowed for this element. A data element may also have attributes which serve to differentiate, e.g., different "types" of numbers, or qualify, e.g., is this a new case or an existing case, or otherwise distinguish this data from other similar data. The following examples, from the Court Filing DTD, are used to explain how to read a content model.

The content model for a particular data element may define content as one of:

- Child elements only. Child elements may be either, but not both, text or other elements. Child elements must appear in the order specified in the content model.
- No children, i.e., empty. In which case, element content is contained in one or more attributes.
- Unspecified children, i.e., any content. An element defined in this manner may have any element named in the DTD as a child.
- Both text children and other specified children, i.e., mixed. There are no elements with mixed content in the court filing DTD.

In a content model, child elements may have special characters appended to the end. These characters and their meanings are:

- "+" means there shall be at least one child element of this kind and there may be more than one, i.e., one or more.
- "*" means there may be zero, one or more child elements of this kind, i.e. zero, one or more.
- "?" means there may be either zero or one child element of this kind, i.e. zero or one.
- no suffix character means there shall be exactly one child element of this kind, i.e. only one.

Attribute content models, which may be:
- Textual.
- A list of values only one of which may be selected, i.e., enumerated.
- A special type called a token.

Each attribute may be defined as being required, implied, or defaulted. The court filing DTD contains attributes of each kind.

An element with other elements as children and attributes:

```
<!ELEMENT Address (AddressLine+, AddressCity, AddressCounty?, AddressState,
AddressPostalCode, AddressCountry?)>
        <!ATTLIST Address Type CDATA #REQUIRED>
        <!ATTLIST Address Status CDATA #IMPLIED>
        <!ATTLIST Address StatusDate CDATA #IMPLIED>
```

This element, Address, may contain child elements AddressLine, AddressCity, AddressCounty, AddressState, AddressPostalCode, and AddressCountry, and when the child is present it must appear in the order specified. The first element, AddressLine, may appear multiple times and must appear at least once. The second element, AddressCity may only appear once and must be present. The third element, AddressCounty, may appear only once and may be absent, i.e., is optional.

There are three attributes belonging to an Address, all are text. Only one of these attributes is required. The other two are optional and if not present are treated as if they did not exist, i.e., there is <u>no</u> default value.

Other examples of elements with child elements containing only text, textual children are identified by "#PCDATA":

```
<!ELEMENT AddressLine (#PCDATA)>
<!ELEMENT AddressCity (#PCDATA)>
<!ELEMENT AddressCounty (#PCDATA)>
<!ELEMENT AddressState (#PCDATA)>
<!ELEMENT AddressPostalCode (#PCDATA)>
```

An empty element containing all content in it's two attributes:

```
<!ELEMENT RoleWith EMPTY>
<!ATTLIST RoleWith ActorID IDREF #IMPLIED>
<!ATTLIST RoleWith MatterID IDREF #IMPLIED>
```

The two IDREF's are tokens that identify each of these attributes as a reference to an element elsewhere in this XML document that contains a token ID attribute. In this case those elements will be Actor elements.

An attribute of the element FilingInformation is another example of a token attribute.

```
<!ATTLIST FilingInformation ID ID #REQUIRED>
```

This token attribute allows references to be included in other elements by including in those elements, an attribute defined as a token IDREF.

An attribute of the element LegalEnvelope of text type with a default value.

```
<!ATTLIST LegalEnvelope Version CDATA #FIXED "1.0">
```

This is a textual attribute and has a required value of "1.0". If the attribute is not present, the processing application treats the XML document as though it contained the required value.

An attribute of LeadDocumentDisposition that contains a selection (enumerated) list.

```
<!ATTLIST LeadDocumentDisposition FilingDisposition (TransmissionError |
Acknowledged | Received | Accepted | Partial | Deferred | Rejected) #REQUIRED>
```

This attribute has a list of possible values and one from that list must be present.

F. DRAFT CHILD SUPPORT XML SPECIFICATION FOR IV-D AGENCY REVIEW

DRAFT CHILD SUPPORT XML SPECIFICATION
FOR IV-D AGENCY REVIEW

Current Version
February 22, 2002

Source
This draft DTD specification has been prepared under a Special Improvement Project (SIP) grant awarded to the National Center for State Courts by the US Department of Human Service Office of Child Support Enforcement, grant award number 90F10034. This work was conducted with a Courts/Child Support Work Group representing court and child support agencies appointed by the National Center for State Courts in September 2001. This document will be submitted by the Office of Child Support Enforcement (OCSE) first for review and comment to IV-D Directors in the child support community and subsequently to the LegalXML Child Support workgroup for further refinement to produce a draft standard within the Court Filing Work Group of LegalXML for formal adoption through the Conference of State Court Administrators and the National Association for Court Management.

Membership of the Courts/Child Support Work Group is found in Appendix A.

1 Introduction

1.1 Purpose

The overall purpose of this specification is to provide a common structure for improved automated information and document exchange between participating child support enforcement agencies (CSEA) and courts by using common XML interfaces for electronic filing of child support matters into courts and for receipt of court information and documents back to child support agencies from courts. The child support agencies plan ultimately to expand the use of the Electronic Court Filing Standard (ECFS) by submitting XML documents to courts within the DocumentContent portion of the ECFS standard. Through the Query and Response standard, the court can provide to the CSEA the XML information and documents with details of the court orders. The CSEAs understand that at this time it is necessary to provide XML data within the legal envelope, in addition to submitting a non-XML or an XML document to the court for filing.

This document is the result of several months of work by the Courts/Child Support Working Group appointed by the National Center for State Courts to develop requirements and a draft DTD for CSEA submission of child support cases and receipt of information on child support orders to CSEAs from courts, using XML technology. Compliance with existing and emerging XML standards for court filing is intended. A detailed comparison of the XML Electronic Court Filing Standard (ECFS) and its ability to allow the data needed for child support requirements, forms, and procedures was conducted based on review of information provided by a number of states. The separate initial child support requirements document delivered under the grant detailed specific child support case needs, idiosyncrasies, and mapped needed child support elements against the ECFS standard.

The initial areas that were identified as potential concerns were paternity determination information, detailed payment information, process service information, specific details of court orders, and the ability to model the complex relationships among actors in child support matters. After further review and discussion with the Work Group, it was decided:

- The detailed calculation capabilities that reside within child support systems themselves do not appropriately belong within the court XML standards. An ability within ECFS to indicate types of payments (arrearages, maintenance, interest, health insurance, etc.) would be adequate for CSEA-to-court and CSEA-to-CSEA data transfers.
- The Actor element was explored in detail to confirm it could support complex multiple payees, children of combined families, and the variety of complex relationships in child support. It was agreed that the flexibility exits within the Actor element.
- Service and notice information were discussed, but these are primarily an issue for courts to determine the adequacy of service, and they are being addressed within Court Policy, the CMS/API and the CDC.

Consideration was given to using already specified elements in the ECFS, such as Cause of Action, Matter, and those items in Appendix 2.3 of the ECFS, elements Common to Court Filing. However, given the complex and peculiar situations that must be modeled for child support, as well as the intent that the same DTD specification will be used for state-to-state Child Support Enforcement Agency XML communication, it was decided that unique child support elements are critical for court orders and requests for court orders.

The specific additional elements needed to handle the content for child support which are not currently specified within the Electronic Court Filing Standard and associated standards are addressed in this draft specification. This specification is based on the ECFS 1.0 Standard. Changes to the Child Support DTD to comply with the February 18th version of the ECFS will be made after review, but are anticipated to be changes only to ensure consistency of upper and lower case usage.

1.2 Assumptions and Dependencies

Child Support is a specific case type with unique needs. The manner proposed for incorporating the special needs of child support into the existing and emerging court XML standards is described below.

a. The child support specification for content will conform with the Proposed Electronic Court Filing Standard (ECFS) and the emerging Query and Response, CDC, CMS-API, and Court Policy standards. Assumptions, requirements, and terminology from the ECFS apply.

b. Additional content for child support is proposed for inclusion within Appendix
3.1, Elements for Specific Case Types, within the ECFS.

c. The general term "Child Support" includes IV-D and non-IV-D spousal and child
support and paternity determinations, and may include custody and a variety of
issues arising from marriage dissolution. Generally, although it is possible that
some local court rules may dictate otherwise for specific actions, Child Support
cases will be filed with documents that are a subset of the civil case element under
DocumentInformation in the ECFS. The criminal element under
DocumentInformation may be used for some child support matters according to
circumstance and local practice.

d. Nationally, the child support community has already addressed a number of
consistency and commonality issues, and certainly to a much greater extent than
have courts. Therefore, although it is not as awesome an undertaking to seek
consistency among CSEAs for many code consistency issues, it is still beyond the
scope of this specification to create fully consistent code table values for all
CSEAs and courts throughout the country. Enumerated values within the
proposed child support elements are minimized to those that are considered most
common and neutral, with the understanding that further values needed at this
time will be defined within the CDC and Court Policy for each court or within the
standards efforts of the Court Filing Workgroup Child Support Workgroup.

The complexity and convoluted nature of relationships among actors and orders in
child support are always of concern in child support processing. Conditions
imposed within order are creative. In following with the convention of not
overloading the standard with specific coded values, any coded values needed will
be presented for consideration as pre-defined values within the LegalXML Child
Support Workgroup and the emerging CDC, Court Policy and Q&R standards, as
appropriate.

e. In this specification, child support has used an element specification of
ChildSupport for both the submission to the court and the receipt of specific child
support information from the court.

Other options were considered, but given the emerging status of many of the
relevant standards, a specific child support definition within Document
Information is proposed.

f. Child Support Enforcement Agencies understand that it may not be immediately
possible for a court's case management system to manipulate XML document
content data received nor will it be possible for a court to return all data desired
by the CSEAs for the court order in XML format to populate the CSEA databases.
This is particularly true if the detailed data is not present in the court's CMS and
if it is not furnished by the CSEA in the query. In the recommendation below,
only those elements generally part of the court's order are included. However,

CSEAs understand that although elements may be generally part of court orders, they may still not be data elements in the courts' current case management systems. Individual negotiations will be necessary between courts and CSEAs to migrate toward XML data exchanges for the data that is not now generally available in court case management systems. With the encouragement of CSEAs, courts can begin to include either within their design of new automated or XML forms or within re-design of case management systems the elements that will ease fully automated XML data exchange with CSEAs.

g. The EFM/CMS API, CDC and Court Policy Requirements will address the mapping that will need to occur within courts. Until those specifications are fully developed, it is anticipated that test sites for child support/court interchanges will independently map data. This will hopefully occur in a cooperative manner in the child support community to ensure the ability for courts to consistently use the information. It is intended that these data mapping needs will be made part of the ongoing CDC, Court Policy, EFM/CMS API efforts, as well as the efforts of the Child Support Workgroup in order to develop consistency similar to that underway for criminal case elements.

1.3 Intended Flow for CSEA Submission and Receipt of Orders

To effectively implement the standards, agreement is necessary to distinguish what is properly handled through a court filing (ECFS), what is handled as a query to a court (Query and Response), and what constitutes a court order response to a CSEA. The following distinctions are proposed:

- Any instance when an official action (i.e., judicial officer approval) or an official change to an existing order within a court record is needed from a court will be initiated as a **court filing submission** in compliance with the ECFS. This would include:
    i. initial establishment of a court order,
    ii. modification of an existing order, or
    iii. change to substantive actors, such as children associated with a payment order.

    The ECFS is not intended to submit "non-official" information although it may be of interest to a specific court, such as changes in child support workers. "Non-official" submissions of this sort are outside the realm of this draft.

- Any instance of a request initiated by a CSEA for case information from the court, where the request from the CSEA is **NOT a pleading filed for the court to take an official action** would be initiated as a query to the court, using the Query and Response standard. This would include requests for

information on scheduled hearing dates and requests for existing docket information.

- The Child Support specification assumes there will be normative (pre-defined) queries and responses that comply with the Query and Response standard for:

    i.   Get case information.
    ii. Get case history. (This would not include retrieving documents from the document management system, but it may include hyperlinks to those documents.)
    iii. Get case calendar.
    iv. Get a specific document, with or without its attachments.
    v.   Get actor status.
    vi. Get associated case list for a particular actor.
    vii. Get the content of the court policy database.

    Requests, therefore, from a CSEA for information about the next scheduled hearing date, the results of a particular hearing, or a copy of a specific order would be handled through these standard request mechanisms yet to be defined by the LegalXML standard.

- A court order issued in response to a child support filing that occurs through ECFS can be relayed as a type of Court Response using the Query and Response standard. This includes initial orders and modifications to orders. The newly defined ChildSupport element within this specification is intended to support this specific reporting.

- There is no process currently incorporated within the Legal XML standards for sending information on an executed court order to the Child Support Enforcement Agency without a specific request from the CSEA for case history or a specific document from the CSEA through the Query and Response standard. Until maturation of the Query and Response, CDC, Court Policy and EFM/CMS API, such automated notification of a new order could be expected by a CSEA only if specific arrangements are made with a court for including this functionality.

- Receipt of a court order from the Court to the CSEA is dependent on a request from the CSEAA in a format consistent with the Query and Response standard. The CSEA will supply to the court all the automated information they need to generate a response, either through a ECFS filing or a Query and Response Query (all children's names, etc.)

    Migration strategies will need to be addressed by individual CSEA-Court participants during test implementations for cases not electronically filed and for cases partially electronically filed in accordance with the court and CSEA policies.

- Currently, a single physical court order may contain multiple actions being ordered by the court (divorce, custody, child support), all of which are enforceable as a result of a court action that occurs at one time. The draft Child Support specification proposes handling this through the DocumentInformation portion of the ReturnedLeadDocument, and the specific Order elements incorporated into the Civil case element for Child Support. It is the Order elements that are uniquely defined for child support.

  Multiple occurrences of DocumentInformation, therefore, within the ReturnedLeadDocument will contain the multiple orders which share the same date of occurrence.

- Instances that may be thought of by CSEAs as "free form text conditions" as part of another order, but for which non-compliance is separately enforceable by further court action, will be individual Orders within the Civil Child Support DocumentInformation. Therefore, jail time, incoming withholding, arrearage payment, maintenance change, and custody change within one hearing would be at least 5 orders.

- "Conditions" that are not enforceable by further court action will be in the "Comment" attached to an Order.

- A request for enforcement action on an existing order would be a new court filing. The results of a court hearing on the enforcement would be a new ReturnedLeadDocument.

1.4 Proposed Child Support DTD

The Civil subject matter element within DocumentInformation in the ECFS has a content of ANY, as a place holder. The same structure is used in Query and Response. The content below has been developed to respond to the specific requirements for child support cases within the Civil subject matter. Elements not defined here are defined with the ECFS or Query and Response.

```
<!ELEMENT ChildSupport (Date, Order+)>
      <!ELEMENT Order ( OrderAction, NonMonetaryOrder |
            MonetaryOrder , Comment*)>

      <!ELEMENT NonMonetaryOrder (OrderName, OrderType,
            OrderSubject*, Comment*) >

      <!ELEMENT MonetaryOrder (OrderName, Payor, Payee+,
            Comment*)>

      <!ELEMENT OrderSubject (Actor, Obligation*, Comment*)

      <!ELEMENT Obligation (ObligationType, Amount?, (End |
            Duration)?, StartDate?, Frequency ?, Comment*)>

      <!ELEMENT Payee (Actor, OrderType, OrderSubject*, Amount?,
            StartDate?, Frequency?,( Duration | EndDate )?,
            PaymentInformation?,  Comment*)>

      <!ELEMENT OrderAction EMPTY>
      <!ATTLIST OrderAction Value  (Request | CourtResult ) >

      <!ELEMENT OrderType EMPTY>
      <!ATTLIST OrderType Value (Establish | Modify | Enforce |
            ModifyAndEnforce | Vacate )>

      <!ELEMENT OrderName (#PCDATA)>
      <!ATTLIST OrderName Type CDATA #REQUIRED> [e.g., "Child
            Support", "Paternity Determination",etc.]

      <!ELEMENT Payor (Actor)>

      <!ELEMENT Amount (Number)>

      <!ELEMENT Frequency (#PCDATA)>

      <!ELEMENT ObligationType (#PCDATA)>
      <!ATTLIST ObligationType Type CDATA #REQUIRED>
            [e.g.,"maintenance", "health insurance"]
```

1.5 Element Specification

The child support is used for orders that are requested or ordered by the court on a single date. Multiple orders may be associated with a single date. At least one order is required.

```
<!ELEMENT ChildSupport (Date, Order+)>
```

The order element gives the details of each specific order, with an indication of Order Action showing if it is a request from a CSEA for an order of the court or a Court Action, indicating an executed order from the court. Orders may be either a monetare order requiring payment from one party to another party or a non-monetary order not requiring payments. Textual comments are allowed for any background on the order not provided within the data itself.

```
<!ELEMENT Order ( OrderAction, NonMonetaryOrder |
       MonetaryOrder , Comment*)>
```

The non-monetary order element gives the details of the order (e.g., custody) in which payments are not required. The OrderType shows if this is an initial establishment, a modification, or an enforcement, as provided within the enumerated values under OrderType. Each order may have zero, one or more subjects affected by the conditions of the order. For example a custody order may apply to one or multiple children. A marriage dissolution would have no OrderSubjects since the parties to the case are the subjects of the order. A comment section is allowed for additional textual details about the specifics of the order.

```
<!ELEMENT NonMonetaryOrder (OrderName, OrderType,
       OrderSubject*, Comment*) >
```

The monetary order element gives the details of the order requiring payments to and for specific subjects. The OrderName specifies the detail of the order (for maintenance, alimony, medical payments, health insurance, etc.). A single payor is required for each monetary order, but there may be multiple payees. Payees (essentially trustees for the payments) may include the Child Support Agency, custodial parents, or direct payments from the payor to schools or doctors or other. Although the payee and payor are part of the order, this does not pose a requirement that the support payments be monitored by the court and does not provide for the details of payment histories kept by the CSEA agencies. Comments are allowed for textual indictors of specific details of the order request or actual court order.

```
<!ELEMENT MonetaryOrder (OrderName, Payor, Payee+,
       Comment*)>
```

The order subject associates a person for whose benefit a particular monetary or non-monetary order is issued. The Actor element is as defined in the ECFS. A specific obligation or more than one obligation toward a subject may be specified. Comments are allowed for textual descriptions.

```
<!ELEMENT OrderSubject (Actor, Obligation*, Comment*)
```

The obligation element gives the exact details of the obligation. The Obligation may be a monetary obligation or a non-monetary obligation. It may contain details such a requirement to attend counseling with a child, to submit to a blood test, to make one time payments, to make arrearage payments, or to make regular monthly payments. Amount is the dollar amount of a specific obligation if one exists. Either an end date or a duration may be part of the order. For many orders associated with child support, durations exist rather than specific end dates, to indicate that payments must continue until the child has graduated from high school. Start dates and frequencies after the start date are for indicating first payment due dates for this obligation, and the intended frequency (weekly, monthly, once) for the obligation. Comments are allowed for textual details.

```
<!ELEMENT Obligation (ObligationType, Amount?, (End |
     Duration)?, StartDate?, Frequency ?, Comment*)>
```

The payee element gives the details of to whom payments will go. In child support cases, changes of payees and circumstances for change may be part of the order. For example, a mother may be paid during the school year and a grandparent during the summer. Or, the Child Support enforcement agency may be the payee until arrears are paid and then payments go directly to the mother. Start date, frequency, durations, and end dates, therefore, may be attached to a payee as well as to an overall obligation. Payment information (check, money order, etc.) is likely not information that will be tracked by courts, but is a major requirement for child support tracking and to allow for the widest use of the DTD.

```
<!ELEMENT Payee (Actor, OrderType, OrderSubject*, Amount?,
     StartDate?, Frequency?,( Duration | EndDate )?,
     PaymentInformation?,  Comment*)>
```

The order action element may have a value only of a Request for a court action or a Court Result, the actual action from the court. While it is possible that other constructs within the ECFS might suffice for this, it is specified because of its importance in distinguishing between a requested order and an actual order. **The order type element** gives enumerated values of Establish, Modify, Enforce, ModifyandEnforce, and Vacate, the standard distinctions made for child support orders within existing CSEA forms and procedures.

```
<!ELEMENT OrderAction EMPTY>
<!ATTLIST OrderAction Value  (Request | CourtResult ) >

<!ELEMENT OrderType EMPTY>
<!ATTLIST OrderType Value (Establish | Modify | Enforce |
     ModifyAndEnforce | Vacate )>
```

The order name element and obligation type elements identify the name of the order (e.g., Child Support or Paternity Determination) and the type of obligation (e.g., alimonry, maintenance, health insurance). Specifically allowed values are not specified in the DTD and may be controlled through the CDC or Court Policy.

```
<!ELEMENT OrderName (#PCDATA)>
<!ATTLIST OrderName Type CDATA #REQUIRED> [e.g., "Child
     Support", "Paternity Determination",etc.]
```

```
<!ELEMENT ObligationType (#PCDATA)>
<!ATTLIST ObligationType Type CDATA #REQUIRED>
    [e.g.,"maintenance", "health insurance"]

<!ELEMENT Payor (Actor)>

<!ELEMENT Amount (Number)>

<!ELEMENT Frequency (#PCDATA)>

<!ELEMENT ObligationType (#PCDATA)>
<!ATTLIST ObligationType Type CDATA #REQUIRED>
    [e.g.,"maintenance", "health insurance"]
```

1.6 Example

The example below shows a request filed by a Child Support Enforcement agency asking for a change in custody, with associated changes in payees, multiple payees, and multiple children with different end dates. It is shown as an initial filing so that all actors are shown, even though a modification of a prior order would likely not be a newly initiated case in the same jurisdiction. If it were filed as a subsequent filing on an existing case, the child support portion would be the same. However, actors and initial case information would be more simplistic to refer to actors who had already been associated with the case. The Legal Envelope portion is not shown.

```
<?xml version="1.0" standalone='yes'?>
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<!-- Creation date and time: 16-Mar-00 15:36Z -->
<LegalEnvelope Version="1.0">

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<Filing>
  <Actors>
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      <Name ID="Ref01.a1.n1">
        <Person>
          <FullName>Attorney Marly Jefferson</FullName>
          <FirstName>Attorney</FirstName>
          <MiddleName>Marly</MiddleName>
          <LastName>Jefferson</LastName>
        </Person>
      </Name>
      <BarMembershipInformation>
        <BarNumber>8200291</BarNumber>
        <LicenseAuthority>New Mexico</LicenseAuthority>
        <YearAdmitted>1982</YearAdmitted>
        <BarStatus>Active</BarStatus>
```

```
      </BarMembershipInformation>
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         <RoleWith ActorID="Ref01.a2"/>
      </Role>
   </Actor>
   <Actor ID="Ref01.a2">
      <Name ID="Ref01.a2.n1">
         <Person>
            <FullName>Children's Mother</FullName>
            <FirstName>Children's</FirstName>
            <LastName>Mother</LastName>
         </Person>
      </Name>
      <Address Type="Office">
         <AddressLine>2107 Second Street</AddressLine>
         <AddressCity>Santa Fe</AddressCity>
         <AddressState>New Mexico</AddressState>
         <AddressPostalCode>87501</AddressPostalCode>
      </Address>
      <Telephone Type="Office">
      <Number Qualifier="Telephone" Format="(###) ###-###">
            (505) 827-6900
         </Number>
      </Telephone>
      <Email>mother@nowhere.com</Email>
      <Role>
         <RoleName>Obligee</RoleName>
         <RoleWith ActorID="Ref01.a1"/>
      </Role>
      <Role>
         <RoleName>Mother</RoleName>
         <RoleWith ActorID="Ref01.a4"/>
         <RoleWith ActorID="Ref01.a5"/>
         <RoleWith ActorID="Ref01.a6"/>
      </Role>
   </Actor>
   <Actor ID="Ref01.a3">
      <Name ID="Ref01.a3.n1">
         <Person>
            <FullName>Children's Father</FullName>
            <FirstName>Children's</FirstName>
            <LastName>Father</LastName>
         </Person>
      </Name>
      <Address Type="Business">
```

```
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        <AddressCity>Santa Fe</AddressCity>
        <AddressState>New Mexico</AddressState>
        <AddressPostalCode>87501</AddressPostalCode>
    </Address>
    <Telephone Type="Business">
    <Number Qualifier="Telephone" Format="(###) ###-####">
        (505) 476-6905
    </Number>
    </Telephone>
    <Email>father@nowhere.com</Email>
    <Role>
        <RoleName>Non-Custodial Parent</RoleName>
        <RoleWith ActorID="Ref01.a4"/>
        <RoleWith ActorID="Ref01.a5"/>
        <RoleWith ActorID="Ref01.a6"/>
    </Role>
</Actor>
    <Actor ID="Ref01.a4">
        <Name ID="Ref01.a4.n1">
            <Person>
                <FullName>William Child1</FullName>
                <FirstName>William</FirstName>
                <LastName>Child1</LastName>
            </Person>
        </Name>
        <Address Type="Home">
            <AddressLine>2107 Tenth Street</AddressLine>
            <AddressCity>Santa Fe</AddressCity>
            <AddressState>New Mexico</AddressState>
            <AddressPostalCode>87501</AddressPostalCode>
        </Address>
        <Telephone Type="Home">
        <Number Qualifier="Telephone" Format="(###) ###-###">
            (505) 476-4200
        </Number>
        </Telephone>
        <Role>
            <RoleName>Child</RoleName>
            <RoleWith ActorID="Ref01.a3"/>
            <RoleWith ActorID="Ref01.a2"/>
        </Role>
    </Actor>
<Actor ID="Ref01.a4">
        <Name ID="Ref01.a5.n1">
            <Person>
```

```
            <FullName>Betsy Child2</FullName>
            <FirstName>Betsy</FirstName>
            <LastName>Child2</LastName>
        </Person>
    </Name>
    <Address Type="Home">
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        <AddressCity>Santa Fe</AddressCity>
        <AddressState>New Mexico</AddressState>
        <AddressPostalCode>87501</AddressPostalCode>
    </Address>
    <Telephone Type="Home">
    <Number Qualifier="Telephone" Format="(###) ###-###">
        (505) 476-4200
        </Number>
    </Telephone>
    <Role>
        <RoleName>Child</RoleName>
        <RoleWith ActorID="Ref01.a3"/>
        <RoleWith ActorID="Ref01.a2"/>
    </Role>
    </Actor>
<Actor ID="Ref01.a6">
    <Name ID="Ref01.a6.n1">
        <Person>
            <FullName>Robert Child3</FullName>
            <FirstName>Robert</FirstName>
            <LastName>Child3</LastName>
        </Person>
    </Name>
    <Address Type="Home">
        <AddressLine>2107 Tenth Street</AddressLine>
        <AddressCity>Santa Fe</AddressCity>
        <AddressState>New Mexico</AddressState>
        <AddressPostalCode>87501</AddressPostalCode>
    </Address>
    <Telephone Type="Home">
    <Number Qualifier="Telephone" Format="(###) ###-###">
        (505) 476-4200
        </Number>
    </Telephone>
    <Role>
        <RoleName>Child</RoleName>
        <RoleWith ActorID="Ref01.a3"/>
```

```
        <RoleWith ActorID="Ref01.a2"/>
      </Role>
   </Actor>
<Actor ID="Ref01.a7">
      <Name ID="Ref01.a7.n1">
        <Person>
          <FullName>Father's Mother</FullName>
          <FirstName>Father's </FirstName>
          <LastName>Mother</LastName>
        </Person>
      </Name>
      <Address Type="Home">
        <AddressLine>42 Seventh Street</AddressLine>
        <AddressCity>Santa Fe</AddressCity>
        <AddressState>New Mexico</AddressState>
        <AddressPostalCode>87501</AddressPostalCode>
      </Address>
      <Telephone Type="Home">
      <Number Qualifier="Telephone" Format="(###) ###-###">
          (505) 476-1111
        </Number>
      </Telephone>
      <Role>
        <RoleName>Grandmother</RoleName>
        <RoleWith ActorID="Ref01.a4"/>
        <RoleWith ActorID="Ref01.a5"/>
        <RoleWith ActorID="Ref01.a6"/>
     </Role>
     <Role>
        <RoleName>Mother</RoleName>
        <RoleWith ActorID="Ref01.a3"/>
     </Role>
   </Actor>
   </Actors>
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      <CourtInformation>
        <Location ID="Ref01.c1" Qualifier="D1116"/>
      </CourtInformation>
      <CaseInformation ID="Ref01.case1" NewCase="true">
        <CaseCategory>Civil</CaseCategory>
        <CaseYear>2000</CaseYear>
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     ChildSupportAgencyCaseNumber22114
</FilersCaseNumber>
      </CaseInformation>
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```

```
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      <Actor ID="Ref01.ld1.p1" Reference="Ref01.a1"/> [attorney for mother]
      <Actor ID="Ref01.ld1.p2" Reference="Ref01.a2"/> [mother]
      <Actor ID="Ref01.ld1.p3" Reference="Ref01.a3"/> [father]
      <Actor ID="Ref01.ld1.p4" Reference="Ref01.a4"/> [child1]
      <Actor ID="Ref01.ld1.p5" Reference="Ref01.a5"/> [child2]
      <Actor ID="Ref01.ld1.p6" Reference="Ref01.a6"/> [child3]
      <Actor ID="Ref01.ld1.p7" Reference="Ref01.a7"/> [paternal grandmother]
</Actors>
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    </Submitted>
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</DocumentType>

<Civil>

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      <NonMonetaryOrder>
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          <OrderType = "Modify">
            <OrderSubject>
              <Actor ID=Ref 01.a4>
              <Comment>Custody to Paternal Grandmother from
Mother</Comment>
            </OrderSubject>
              <Comment>Child2 and Child3 to stay with Mother</Comment>
      </NonMonetaryOrder>
    </Order>
    <Order>
      <OrderAction>Request<\OrderAction>
      <MonetaryOrder>
        <OrderName Type = "Child Support">
          <Payor> <Actor ID= 01.a3> </Payor>
          <Payee>   <Actor ID= Ref01.a7 >
            <OrderType = "Establish">
            <OrderSubject>
```

```
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          <Obligation>
          <ObligationType = "Maintenance">
          <Amount>200</Amount>
          <Frequency>Monthly<\Frequency>
          <Duration>Child's Majority</Duration>
        </OrderSubject>
     </Payee>
     <Payee> <Actor ID= Ref01.a2 >
          <OrderType = "Modify">
          <OrderSubject>
            <Actor ID = Ref01.a5 >
              <Obligation>
                <ObligationType ="Medical Payments">
                <Amount>950<Amount>
                <Frequency>Once</Frequency>
                <Comment>To be paid within two
                    weeks</Comment>
                <Comment>For Orthodontist</Comment>
              </Obligation>
              <Obligation>

                <ObligationType>"Maintenance"</ObligationType>
                <Amount>300<Amount>
                <Frequency>Monthly<Frequency>
              </Obligation>
            </OrderSubject>
       </Payee>
      </MonetaryOrder>
     </Order>
    </ChildSupport>
   </Civil>
<AttachmentDocumentInformation>
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       <Date>20020120</Date>
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asfawrq2357c=rqttpbc</DocumentContent>
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             ...asfawrq2357c=rqttpbc
             </DocumentContent>
       </Attachment>
       </LeadDocument>
    </Filing>
    </CourtFiling>
    </Legal>
</LegalEnvelope>
```

2 Appendix A

Members of the Courts/CSEA Working Group are listed below.

COURTS/CSEA Work Group		
Member	**Courts/CSEA**	**State**
Greg Arnold	Courts	GA
Howard Baldwin	CSEA	TX
Maurice Bedford	Lockheed Martin	Contractor to OCSE, Lockheed
Terrie Bousquin	Consultant	NM
Pauline Burton	CSEA	CO
Jeffrey Cohen	CSEA	VT
John Davenport	Courts	PA
Judge David Emerson T.	Courts	GA
Jerry Garland	Couts	GA
Robin Gibson	Courts	MO
Woody Gill	CSEA	TX
Amy B. Gober	OCSE	Fed OCSE
Craig Goellner	CSEA	CO
Alisha A. Griffin	CSEA	NJ
Sharon Grose	CSEA	MN
Phil Herndon	CSEA	New Mexico
Theresa Kaiser	CSEA	MD
Dale Kasparek	NCSC	NCSC
George Laufert	OCSE	Federal OCSE
Janis Mahaney	CSEA	TX
Cindy Moss	CSEA	GA
Frank Murray	CSEA	NM
Debra Nesbit	CSEA	GA
Daniel Richard	CSEA	PA
Robert Roper	Courts	CO
Ben Silva	CSEA	NM
Helen Smith	OCSE	Federal OCSE
Nancy Smith	CSEA	TX
Meg Sollenberger	CSEA	WA
Marie Thiesen	CSEA	IA
Carl Tiller	CSEA	WA
Diana Williamson	CSEA	TX