# Policies & Notices for Government Subscriptions to Court Integration Services

Revised September 29, 2006

The Minnesota Judicial Branch (hereinafter "the Court") recognizes that other Minnesota government agencies or entities (hereinafter "agency" or "agencies") may require regular or periodic data flows of district court case records for the efficient performance of their duties as required by law and court rules. In this spirit, Rule 8, subd. 4(a), of the Rules of Public Access to Records of the Judicial Branch, authorizes government agencies to access public case records in any form or manner, without the remote access restrictions that are imposed on the general public under Rule 8, subd. 2.

Court Integration Services are offered by the Court only to the extent technically feasible and for use by agencies in accordance with the policies stated herein. To request Integration Services, agencies must submit an application, execute a nondisclosure agreement, and obtain approval from the Court. The application process is explained in Section 5, herein.

This document contains policies and notices that govern the use of Integration Services by government agencies, and is made part of the Integration Services nondisclosure and subscriber agreement by reference. The Court may publish updated Policies & Notices from time to time and such updates shall become part of the Integration Services nondisclosure and subscriber agreement, and it is the obligation of agencies to check from time to time for updated Policies & Notices and be familiar with the contents thereof.

The Court reserves the right to deny access at any time for any reason. The Minnesota Judicial Branch also reserves the right to modify Integration Services from time to time, including data structures. Agencies are required to stay abreast of all announced modifications and version releases, and modify their systems to accept such modifications and new version releases.

A full catalog of Court Integration Services is available at: <u>http://www.mncourts.gov/is/</u>. To apply for Court Integration Services, select the "Request Access" link on the right menu bar (hereinafter "the Request Page"). Important policies and notices and other application materials are posted on the Request Page.

**NOTE:** Integration Services for TCIS are available upon special request and are more fully described in the TCIS Data Pass User Manual. Many of the sections of this document apply more directly to Integration Services for MNCIS, as indicated.

Questions about Integration Services and/or the application process should be directed to Linda Emeott at 651-282-2063 or Tim Buchholz at 651-297-7599.

## 1. Eligible Agencies

Currently, only Minnesota state and local agencies may use the application packet posted on the Integration Services web site to submit an application for Integration Services.

#### Clarifications on Eligibility & Use of Application Packet:

- Minnesota non-profit corporations are not eligible, unless they are also considered criminal defense corporations as described in M.S. §611.216.
- Minnesota tribal agencies are eligible with the execution of a custom, legally-binding nondisclosure agreement with the Court. The agreement posted on the Integration Services web site cannot be used by tribal agencies. They must request a custom agreement at this time.
- Federal agencies are eligible with the execution of a custom agreement with the Court. The agreement posted on the Integration Services web site cannot be used by Federal agencies. They must request a custom agreement at this time.

 Integration Services is not being offered at this time to agencies from other states or other foreign agencies.

Please check back periodically for updates on eligibility and use of application packet.

## 2. Offerings – Case Record Classifications

Eligible agencies should designate on the Request Form the Case Record Classifications that most closely meet their business needs for court records and for which they have legal authority to access. They should consider their business needs at the business unit level, and not request broader access than needed. All requests are subject to approval by the State Court Administrator.

The following Case Record Classifications are offered on the Request Form (under Section 3):

### 2.1. Statewide Public Case Records

All eligible agencies may request and receive statewide public case records, which includes all records classified as accessible to the public under Public Access Rule 4, Accessibility to Case Records. This offering does not require a court order or other legal authorization.

**NOTE:** Recent Juvenile felony over age 16 cases are public and are accessible under this option. However, older cases that were initiated on the former TCIS system may not be viewable as public case records, and may only be accessible under Section 2.2.1, below, because they were converted to confidential cases in the new MNCIS case management system.

### 2.2. Confidential Case Records – Authority & Jurisdiction Information

Confidential case records are offered on a more restricted basis than the public case records described in Section 2.1, above. Before requesting confidential case records, agencies should read the following paragraphs on Authority and Jurisdiction, as well as the information provided under each confidential offering in this Section that they plan to request.

<u>Authority</u>. Eligible agencies must have legal authority to access confidential records by court rule or under Public Access Rule 8, subd. 4(b). Applicants that request confidential records for which they have no authority or for which authority may be difficult to obtain may have their applications rejected or significantly delayed. *Tip:* Begin by requesting only those offerings that appear to be easily available to your agency. Additional requests may be submitted at a later date to obtain additional record classifications.

<u>Jurisdiction</u>. When confidential case records are requested, agencies must also request the appropriate jurisdiction: either a single county, multiple counties <u>within one district</u>, or all counties ("statewide"). If records are needed from multiple counties that are not in the same district and the statewide option is too broad, you may only request one district per Request Form (i.e., start with one district, then submit additional Change Request Forms after you receive access to the first district). Do not request "statewide" unless you are authorized under court rule, have investigated the possibility of obtaining a Supreme Court order, or are willing to wait a significant amount of time while your request is considered (you may be asked to submit more information).

If you have questions about Case Record Classifications and authorization, send an email to: <u>MJCMNCISGovtAccessProcedural@courts.state.mn.us</u> (include your name and phone number).

### 2.2.1. Juvenile/Parent-Child Relationships/Civil Domestic Violence (prior to service) Case Records

This offering provides data from the following case types:

- Juvenile
  - Delinquency
  - Juvenile Petty Offense
  - Juvenile Traffic
- Parent-Child Relationships
  - CHIPS
  - CHIPS Delinquency Under 10
  - CHIPS Educational Neglect
  - CHIPS Runaway
  - CHIPS Truancy
  - CHIPS Voluntary Placement (Other)
  - Termination of Parental Rights
  - Voluntary Placement (ED DD)
- Civil Domestic Violence
  - Domestic Abuse

**NOTE:** Civil Domestic Violence cases are accessible to the public and available under the Statewide Public Access offering above in Section 2.1, except for specific cases that have not yet been served and are therefore deemed confidential.

This offering is only available to eligible agencies with proper legal authority to access these records. Rule 8, subd. 4(b) of the Rules of Public Access to Records of the Judicial Branch provides the authority for Minnesota county attorneys, Minnesota state public defenders, Minnesota state and local corrections agencies, and Minnesota state and local social services agencies to obtain access to these records on a statewide basis, subject to the execution of a nondisclosure agreement and a determination by the State Court Administrator that the disclosure of such records will not compromise the confidentiality of any of the records.

Alternatively, if Rule 8, subd. 4(b) does not apply, the only way to obtain authority is by court order. Your Court Access Representative may assist in this process if the request is for single-county records or multiple counties within one district, and if the request is properly documented and justified on the Request Form. Requests for statewide records that are not authorized under Rule 8, subd. 4(b) require a Supreme Court order and may take a significant amount of time to process. We suggest you submit such requests separately, to prevent delay in processing your request for public records and other offerings for which you may be authorized.

## 3. Offerings – Court Integration Services Catalog

The Integration Catalog of Services is available at: <u>http://www.mncourts.gov/is/</u> (select "Catalog of Services" from the right menu bar). Detailed information about all offerings is available there.

Three offerings are currently available: 1) CaseGet Query; 2) Case Search by Party Query; and 3) Case Notifications. These are offered at the business unit level, not at the individual user level. Each business unit should fill out Section 4 of the Request Form to request one or more of these offerings.

## 3.1. Queries

#### 3.1.1. CaseGet

The CaseGet service allows agencies to request and retrieve case information on an ad hoc basis. Case types and jurisdictions are limited to those identified and authorized under Section 3 of the Request Form. Detailed information regarding the CaseGet Service is available at: <a href="http://www.mncourts.gov/?page=1632">http://www.mncourts.gov/?page=1632</a>.

#### 3.1.2. Case Search by Party

The Case Search by Party service allows agencies to search for cases using party identifying information. Case types and jurisdictions are limited to those identified and authorized under Section 3 of the Request Form. Detailed information regarding the Case Search by Party Service is available at: <a href="http://www.mncourts.gov/?page=1634">http://www.mncourts.gov/?page=1634</a>.

### 3.2. Notifications

#### 3.2.1. Case Notifications

The Case Notifications service delivers notification messages to the agency system automatically when specific events occur. The specific events, case types, and jurisdictions are limited to those identified and authorized under Section 3 of the Request Form. Detailed information regarding the Case Notifications service is available at: <a href="http://www.mncourts.gov/?page=1633">http://www.mncourts.gov/?page=1633</a>.

#### 3.3. Submissions

No submissions are offered at this time, but will be offered soon. Check back periodically for new submission offerings.

#### 4. Fees

Currently, there are no fees for Integration Services. However, the Integration Services nondisclosure and subscriber agreement includes fee provisions, in the event that fees may be introduced at a future date. Agencies will be notified before any fees are imposed.

### 5. Application Packet for MNCIS Integration Services

Obtain the most recent application packet for Court Integration Services at: <u>http://www.mncourts.gov/is/</u> (select "Request Access" from the right menu bar). The following list of documents is part of the application packet. Be sure you download the most recent version of these documents at the time you submit an application, because they are subject to change at any time. If you submit old versions, they may be returned to you.

### 5.1. Policies & Notices

Policies and Notices govern the use of Integration Services, availability, restrictions on disclosure, and other important information. The provisions in the Policies & Notices document are made part of the Integration Services nondisclosure and subscriber agreement, by reference. Agencies must comply with all provisions in the Policies & Notices, as well as the Integration Services nondisclosure and subscriber agreement. Check back periodically for changes to the Policies & Notices.

### 5.2. Request Form & Change Request Form

The Request Form and Change Request Form are used for submitting requests for Integration Services. Use the Request Form for your first request and the Change Request Form for all subsequent requests. Both forms must be fully and accurately completed. Incorrectly completed request forms will be returned. Each form has detailed instructions at the back.

#### 5.3. Nondisclosure & Subscriber Agreement

A requesting agency may sign one Master Nondisclosure & Subscriber Agreement to cover multiple requests for Integration Services, across multiple business units. For example, a state agency may sign one agreement to cover Integration Services for multiple offices, departments, and systems that may exist throughout the state. The Minnesota Counties Computer Cooperative (MCCC) has signed one Master Nondisclosure Agreement on behalf of all participating Minnesota Counties, to reduce the need for each county to sign its own agreement. All participating Minnesota Counties should obtain a copy of the agreement executed by MCCC prior to requesting Integration Services, and read and comply with its provisions.

Agencies must attach a copy of their Master Nondisclosure Agreement with each Request Form and Change Request Form. If your business unit is the first to submit a Request Form, you must execute a new Integration Services agreement. We recommend that you take the agreement to the head of your agency to be signed on behalf of the entire agency, not just on behalf of your business unit. This approach will allow you and other business units to submit multiple requests for Integration Services under a single agency-wide agreement. Alternatively, if you prefer to have the agreement signed by an authorized person over your business unit only, then other business units will also have to sign their own agreements.

### 5.4. Table of Limits

The Table of Limits provides information on record classifications and limits of public access. Agencies must make this available to all staff to read and understand, and obtain updated copies periodically.

### 6. Application Submission

After completing the appropriate documents in the Application Packet, as described in Section 5, above, print two complete paper copies, provide handwritten signatures on both copies of the Request Form and Agreement (if applicable), and deliver to: Linda Emeott; State Court Administrator's Office; Information Technology Division; 25 Rev. Dr. Martin Luther King, Jr. Blvd.; St. Paul, MN 55155.

### 7. Use of Private Vendors, Shared Hubs, & Shared Applications

The Court recognizes that agencies may need to use shared hubs and shared applications to facilitate the technical delivery and consumption of Integration Services data. The Court also recognizes that agencies may need to use private vendors to maintain and support hubs and applications that route or consume Integration Services data. These are all allowable, as long as agencies take all appropriate action, whether by instruction, agreement, or otherwise, to ensure the protection, confidentiality, and security of State Confidential Information as defined in the *Master Nondisclosure & Subscriber Agreement for Integration Services* and to satisfy Subscriber's obligations under such agreement.

Without limiting the above, the remainder of this Section offers additional explanation on the use of shared hubs and applications. Diagram 1, below, is offered as an illustration of the following discussion.

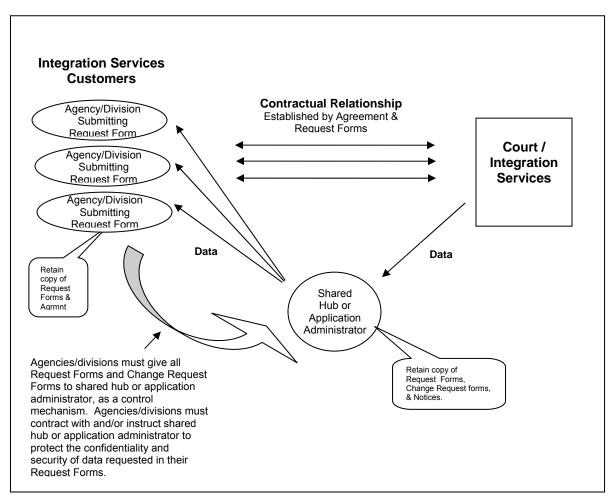


Diagram 1.

**Shared Hubs.** Agencies requesting Integration Services may use shared hubs for the receipt and routing of Court data to their operational applications. For example, four county divisions with different applications may receive their Court data through a single, shared hub. As another example, three entire counties, all with multiple divisions running different applications, may receive their Court data through a single, shared hub. However, these separate agencies or divisions may not be authorized to receive the

same Court data. Therefore, shared hubs must implement appropriate data security controls to ensure that Court data is accessible through the shared hub only by authorized persons.

When shared hubs are used, agency Applicants that submit Request Forms should keep in mind that the contractual relationship established by the Request Form and the Master Agreement remains between the Court and the Applicant agency or division, as identified on the Request Form. Further, the Court data identified on a Request Form is authorized only for delivery to the Applicant division identified on the Request Form. The hub administrator is not authorized by the Court to access or process any Court data. Instead, the Applicant identified on the Request Form must have a separate agreement or a confidential relationship with the shared hub to protect the confidentiality and security of Court data in the hands of the shared hub, and ensure that Court data is not passed to an unauthorized agency. The Court reserves the right to discontinue Integration Services for any reason, including lack of security and unauthorized disclosure of information.

**Shared Applications.** Agencies requesting Integration Services may use shared applications with other agencies. For example, a city prosecutor may share a case management application with a county prosecutor, or a county corrections department may share a case management application with a county sheriff. However, these separate agencies or divisions may not be authorized to receive the same Court data. Therefore, shared applications must implement appropriate data security controls to ensure that Court data is accessible within the shared application only by authorized persons.

When shared applications are used, agency Applicants that submit Request Forms should keep in mind that the contractual relationship established by the Request Form and the Master Agreement remains between the Court and the Applicant agency or division, as identified on the Request Form. Further, the Court data identified on a Request Form is authorized only for delivery to the Applicant division identified on the Request Form. The administrator of the shared application is not authorized by the Court to access or process any Court data. Instead, the Applicant identified on the Request Form must have a separate agreement or confidential relationship with the shared application to protect the confidentiality and security of Court data in the hands of the shared application, and ensure that Court data is not accessible to an unauthorized agency. The Court reserves the right to discontinue Integration Services for any reason, including lack of security and unauthorized disclosure of information.

**Request Form and Change Request Form as Data Security Control Mechanism.** Without limiting other contractual obligations, the Court directs that the Court Integration Services Request Form (after approval) be used as a data security control mechanism. Agency applicants must provide a copy of each Request Form and Change Request Form (after approval) to their respective shared hub or shared application administrator, and instruct such administrator to only allow access to the data identified on the Request Form/Change Request Form to the named Applicant.

Further, without limiting any contractual obligations, the Court will offer another data security control mechanism to shared hubs and shared applications, titled: *Notice to Shared Hub/Application Administrators Using Court Integration Services*. This Notice does not relieve agencies and agency divisions from their contractual obligations. Rather, it is offered as an additional mechanism to assist with data security. Each time an Applicant submits a Court Integration Services Request Form or Change Request Form, the Court will send a Notice to all identified shared hubs and shared applications identified on the form. The Notice will contain a detailed list of all data being passed to the shared hub or application, along with the agencies or divisions entitled to receive such data, according to the Court's records. Agencies should instruct their shared hub and application administrators to compare the Notice with the Request Forms on hand and identify and resolve any discrepancies, as needed.

## 8. System Availability

#### 8.1. MNCIS Integration Services

#### Integration Services availability aligns with the availability of MNCIS, as follows:

#### MNCIS Core Hours: 7:00AM to 5:30PM, Mon through Fri, excluding holidays.

MNCIS Odyssey will be available during Core Hours, except during:

- System Failure
- Unscheduled Emergency Maintenance

#### MNCIS Non-core Hours: 5:30PM to 7:00AM, Mon through Fri, holidays, & weekends.

MNCIS Odyssey will be available during Non-Core Hours, except during:

- System Failure
- Unscheduled Emergency Maintenance
- Scheduled Maintenance
- Future County Conversions to MNCIS

#### **Definitions:**

**System Failure.** There will be situations where system failures will occur that are beyond our control that will cause MNCIS to be unavailable. For these failures it's likely that no warning will be possible. Examples are: data circuit problems, database server failure, multiple web server failures, disk subsystem failure, power failure, or data center air conditioner failure.

**Unscheduled Emergency Maintenance.** There will be emergency situations where only short notice is possible before terminating MNCIS availability. The ITD Technical Systems Unit has unquestioned authority to decide if and when emergency maintenance is necessary. This is an infrequent occurrence, which happens once or twice per year, on average.

**Scheduled Maintenance.** There are activities that must be periodically performed on many components within the infrastructure supporting MNCIS including hardware, software and firmware upgrades to: firewalls, switches, web servers, database servers, and disk storage devices to keep them operational and at a supported level by our vendors. In order to balance our customer's needs for consistent access to these applications, and to recognize that our support personnel only work the day shift Monday through Friday, scheduled maintenance will not be performed during MNCIS Core Hours. Even in those instances where we plan to perform scheduled maintenance outside of the core hours, we would provide 24 hour notice when possible.

**Future County Conversions to MNCIS.** As each county is converted to MNCIS it will be necessary to stop MNCIS at 5:30pm in order to facilitate the TCIS to MNCIS data conversion process. You will be notified in advance of the specific date and time for each county conversion. All of the items mentioned above, with the exception of the data circuits are under the control of ITD, and we have purchased redundant hardware for each of these to minimize the possibility of downtime.

### 8.2. TCIS Integration Services

See the TCIS Data Pass User Manual, available upon request.

### 9. Security / Account Usage & Passwords

#### 9.1. MNCIS Integration Services

Approved agencies receive the following important identifiers:

**User Name & Password.** Each agency receives a User Name & Password that is confidential and should not be disclosed except as provided in the Agreement.

**Subscription ID.** Each agency receives a Subscription ID that is an important control number used to identify and direct all of the agency's messages through Integration Services. An agency that contracts with a shared broker/hub that also services other subscribers MUST instruct the shared broker/hub that it may not share or redirect any of the agency's messages, as identified by Subscription ID, with any other agencies.

User Names, Passwords, and Subscription IDs may be reassigned at the discretion of the Minnesota Judicial Branch.

### 9.2. TCIS Integration Services

See the TCIS Data Pass User Manual, available upon request.

### 10. Training

For MNCIS Integration Services, agencies may access training and technical materials posted at: <u>http://www.mncourts.gov/is/</u>. No direct training or technical support will be provided.

For TCIS Integration Services, see the TCIS Data Pass User Manual, available upon request.

### 11.Support

For MNCIS Integration Services, see the support options described at the Integration Services Request Page: <u>http://www.mncourts.gov/is/</u> (select "Request Access" from the right menu bar).

For TCIS Integration Services, see the TCIS Data Pass User Manual, available upon request.