

## 2.0 Project Charter

### A. Project Description and Purpose

#### ***Project Description***

The Judicial Branch has made considerable progress over the last three decades towards automating its judicial and law enforcement services. Despite this, the time has come to replace or upgrade the current technology suite and automate existing processes to allow for integration of systems and improved accessibility and usability of information between judicial and law enforcement functions. This decision supports the desire for judicial and law enforcement officials to access and share information, while reducing costs. The NCAOC seeks to look holistically across their technology inventory and the business processes it supports to identify and prioritize key areas of improvement, resulting in a prioritized technology strategy to methodically and objectively address these areas.

In an effort to support the Judiciary's goal of automation of all court processes, the NCAOC has engaged BerryDunn to assist in its assessment of its current IT environment and the creation of a comprehensive plan that dictates how to most effectively allocate the NCAOC's technology resources to a prioritized set of IT initiatives over the next three to five years. This plan is intended to adhere to the standards set forth by the Judicial Branch, while identifying opportunities to update policies, improve business processes, and advance the use of technology, using industry best practices to support eCourts technology and operational initiatives.

Planning for information technology investments requires that the NCAOC, judicial officials, and other stakeholders adopt, understand, and successfully manage future strategic initiatives that will enable the Judicial Branch to meet its objectives. Each strategic initiative outlined in this plan has been organized into one of three types of initiative domains:

1. **Technology Infrastructure:** Represents initiatives that are related to computer hardware, software, and network infrastructure.
2. **Business Environment:** Represents initiatives that are related to making existing business processes more uniform, efficient, and effective for courts, State staff, and citizens.
3. **Management and Governance:** Represents initiatives that are related to how court technology is managed and governed, including managing a statewide information technology enterprise architecture that supports eCourts initiatives.

The NCAOC must plan for regular information technology investments in each of the three domains in order to achieve its objectives. These domains are much like a *three-legged stool*; regular investments in each domain are required in order for the NCAOC to maintain proper service levels and serve its constituents within the Judicial Branch. If one leg isn't sufficiently funded or managed, stability of the plan and use of information technology is compromised.

In meeting the NCAOC's objectives for this project, our team will work closely with the Judicial Branch project manager and team, which includes the established Technology Committee of the North Carolina Commission on the Administration of Law & Justice (NCCALJ); see the Project Vision for additional details, department stakeholders, and the NCAOC Technology Services Division (TSD) staff, to conduct an analysis of the current processes and practices affected by the Judiciary's use of technology. BerryDunn will work with the NCAOC to develop a comprehensive eCourts Strategic Plan, providing the NCAOC with a roadmap to guide and drive business and technology decisions, standards, budgets, and funding efforts in alignment with the Judiciary's mission, vision, and goals for the eCourts initiative.

### ***Project Vision***

The eCourts Strategic Planning Project is governed by the Technology Committee of the North Carolina Commission on the Administration of Law & Justice (NCCALJ). The vision of the NCCALJ is "to utilize technology to enhance efficiency, effectiveness, and timeliness of processes critical to implementing the mission statement of the Judicial Branch." This vision is supported by the vision of the TSD to provide: "The right information, at the right time, right where you are."

It is the mission of NCAOC to use information technologies to improve the delivery of services to the public and to provide greater and more convenient access for court personnel.

This eCourts vision includes the automation of all court processes to provide:

- Virtual courthouses and clerks' offices
- Electronic filing, retrieval, and processing of documents
- Convenient access to services and information for the public
- Integration of financial and case data
- Judicial decision support and caseload administration tools

### **B. Project Objectives**

The objective of the eCourts Strategic Planning Project is to capture in one place a range of projects that, when initiated within a 3-5 year timeframe will:

- Improve access to justice for North Carolinians
- Improve efficiencies for public safety and law enforcement partners
- Capture data that supports metrics the Judicial Branch may use to gauge how it is performing
- Reduce reliance on paper and the constraints a paper-based system imposes
- Increase the quality of data collected and maintained and improve its usefulness
- Promote the use of electronic funds flow over physical methods, both with regard to collections and disbursements

The value anticipated from pursuing and attaining these objectives includes:

- Improved faith and confidence by the public in judiciary operations
- Improved ability to dialog effectively and confidently with the legislature and the public

- Increased buy-in and support from Judiciary stakeholders regarding initiatives that are presented as enablers of process improvement
- Increased security of non-public data

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## C. Project Scope

This section describes the scope of the eCourts Strategic Planning Project, including thoughts regarding areas in which technology can be increasingly leveraged in the near term (3–5 years). It also includes a brief section that describes representative topics and areas that are not currently within the scope of the eCourts Strategic Planning Project.

This section defines activities, or characteristics of activities, that fall within the domain of the eCourts Strategic Planning Project (i.e. what activities are being performed to bring about the eCourts Strategic Plan). This section does not define characteristics of initiatives or projects that may arise from or may result from completion of such activities (see bullet list of Project Objectives, above, for such characteristics). In addition, this section defines examples of activities (for illustrative purpose) that are NOT within the scope of the eCourts Strategic Planning Project.

### ***In Scope***

The scope of activities associated with the eCourts Strategic Planning Project includes the following:

- Initial Project Planning And Kickoff
  - Conduct Initial Project Planning
  - Request and Review Available Documentation
  - Develop and Administer Web-Based Survey
  - Facilitate Project Kickoff Meeting
- Research and Gap Analysis
  - Conduct Fact-Finding Meetings and Interviews
  - Develop Preliminary List of IT Strategic Issues
  - Confirm and Prioritize Preliminary List of Strategic IT Issues
  - Conduct Follow-Up Meetings Related to Judiciary’s Mission, Vision, and Goals
  - Identify and Document Current and Planned IT Projects
  - Develop and Distribute IT Initiatives Planning Templates
  - Conduct Benchmark Analysis to Determine Best Practices
  - Conduct Gap Analysis to Determine Areas for Future Improvement
  - Develop Preliminary List of IT Projects And Initiatives
  - Prioritize List of Projects And Initiatives
- E-Courts Strategic Plan Development
  - Develop First Draft E-Courts Strategic Plan
  - Facilitate Review of First Draft E-Courts Strategic Plan with the NCAOC
  - Update Draft E-Courts Strategic Plan to Final
  - Present Final E-Courts Strategic Plan
- Project Closeout
  - Conduct a Project Closeout Meeting
  - Develop and Deliver Project Closeout Report

This list of in-scope activities is elaborated on further in Section 3 of the Project Work Plan. It is worth noting that the structure (e.g. an annotated outline) of the eCourts Strategic Plan itself is developed as an early effort in “Develop First Draft eCourts Strategic Plan,” identified above. BerryDunn has a template IT Strategic Plan that will serve as the basis for that annotated outline.

### ***Out of Scope***

The following are examples of activities that are outside the scope of the eCourts Strategic Plan development process:

- Physical Plant changes to courts and administrative offices
- Implementation of an Enterprise Resource Planning (ERP) system
- Assessing or defining the impact of any of the identified initiatives on state-level enterprise systems (e.g., state personnel, state finance, HR/Payroll, etc.)
- Addressing local policies for implementing them
- Constitutional amendments
- Rights changes of citizens

### ***Stakeholders Affected or Impacted***

Below is a preliminary list of stakeholders impacted by, or with an interest in, the results of the eCourts Strategic Planning Project:

- Advocates (including Guardians ad Litem)
- All Court Judges, Clerks, Magistrates, and Staff
- Citizens
- Community, State, and National Justice Research Organizations
- Congressmen, Senators, and Other Political Representatives
- County Systems/Officials/local judicial administrative staff
- Crime Victims/witnesses
- District Attorneys and Staff
- Diversion Programs
- Federal Agencies and Systems, Including but Not Limited to:
  - Federal Bureau of Investigation (FBI)
  - National Crime Information Center (NCIC)
  - National Law Enforcement Telecommunications System (NLETS) Interstate Compact Offender Tracking System (ICOTS)
- Governor and Governor's Office
- Information Consumers and Aggregators of Court Data
- Jurors
- Justice Partners
- Law Enforcement and Public Safety Agencies (e.g. CJLEADS (Criminal Justice Law Enforcement Automated Data Services))
- Litigants, Defendants, Respondents, Participants
  - Attorneys/Members of the Bar
  - Pro Se Litigants
- Media
- Municipalities
- National Center for State Courts (NCSC)
- North Carolina Bar Association
- North Carolina Child Support Enforcement Agency
- North Carolina Office of Indigent Defense Services - Public Defenders

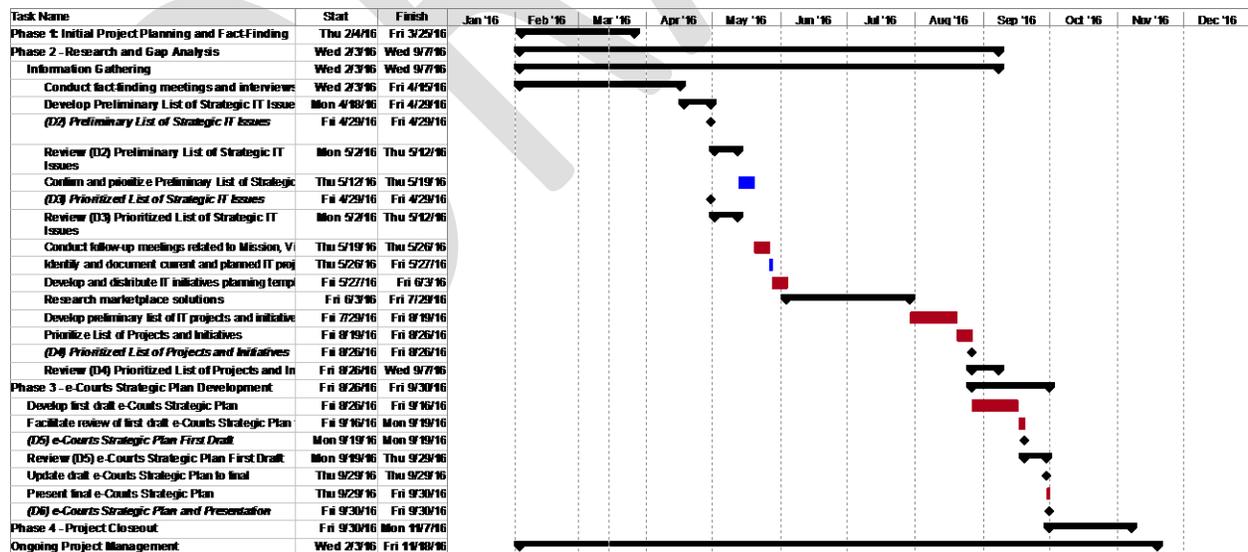
- North Carolina State Agencies and Entities, to Include but Not Limited to:
  - Attorney General
  - Health and Human Services (including the Division of Social Services)
  - Department of Education
  - Department of Motor Vehicles
  - Department of Public Safety (including but not limited to Juvenile Justice)
  - Legislature
  - Revenue Department
  - State Bar
  - North Carolina Department of Transportation
- North Carolina Tribal Communities
- Other States
- Pretrial Services
- Professional Healthcare Associations
- Schools/Educators
- TSD
- NCAOC

## D. Project Summary Schedule and Budget

This section includes a high-level deliverables schedule and the approved budget for the eCourts Strategic Planning Project. The project formally began in February 2016, and will continue through September 2016.

### Summary Project Schedule (2016)

Table 3: Summary Project Schedule



### Summary Project Budget

The approved budget for the eCourts Strategic Planning Project is \$281,914.

## **E. Preliminary Project Assumptions and Constraints**

### ***Project Assumptions***

The following are assumptions stated in the BerryDunn proposal:

- The eCourts Strategic Planning Project duration is eight months.
- Judicial Branch staff will be made available as appropriate, and given sufficient notice to accommodate their schedules. The NCAOC will appoint a project coordinator to work with our team for scheduling and logistics.
- On-site fact-finding meetings will be two days in duration for each identified group. Two teams of two BerryDunn team members will conduct up to 12 of these meetings over a continuous three-week period. The fact-finding meetings will be held at various locations throughout the state, largely centered on major metropolitan areas, such as Charlotte, Raleigh, Greenville, and Winston-Salem/Greensboro. These meetings may be organized geographically or by court type.
- NC Judiciary facilities in remote locations around the State of North Carolina will be used for fact-finding and other meetings.
- BerryDunn will interview key stakeholders who represent specific functions, courts, and geographies; not all court personnel will be interviewed (the intent of the Web-based survey is to gather data points from a much larger target audience than the interview participants).

The following additional assumptions reflect input from the Technology Committee:

- Initiatives may be included in the Plan without regard to probability of funding.
- Interviews with a cross-section or subset of stakeholders being representative of all.
- Citizens' rights are not impacted as a result of the eCourts Strategic Plan.
- The Constitution of the State of North Carolina will not be changed.
- Mandates may be required to increase the use of, and training, on some technologies or support of some business processes (e.g., e-filing).
- Enabling legislation (e.g., statutory amendments) will be made available to support initiatives in the Plan.

### ***Project Constraints***

Constraints are limitations placed upon the project within which the project team must work.

- Limited availability of Judicial Branch resources
- Limited availability of BerryDunn resources
- Competing projects and priorities and their impact on staff, timeline, and money
- Regional labor pool and salary structure
- Abilities and capabilities of Justice Partners
- Abilities and capabilities of the Judicial Branch
- Abilities, capabilities, and knowledge of the NC Judicial Branch and of BerryDunn

- Accuracy of data gathered during the development of the eCourts Strategic Plan is dependent on the accuracy of information and data provided to the BerryDunn team during fact-finding sessions
- Lack of explicit accountability of some stakeholders (e.g., elected officials) to the project steering committee.

## F. Preliminary Project Risks and Issues

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect on the project or the quality of its deliverables. Known risks identified with this project have been included below. A plan will be put into place to minimize or eliminate the impact of each risk to the project.

**Table 4: Preliminary Project Risks and Issues**

Risk and Issue Description	Preliminary High-Level Risk and Issue Mitigation Strategy
<b>Project Risks</b>	
New legislative mandates may negatively impact the development of the eCourts Strategic Plan.	To be developed.
Lack of enthusiasm and active engagement by key project stakeholders may adversely impact the quality of Plan components, as well as the ultimate execution of the Plan.	To be developed.
The legitimacy of this eCourts Strategic Planning Initiative may be questioned based on previous strategic planning efforts.	Need to set and maintain appropriate expectations through active communications.
The scope of the Plan may be extensively broad as to be viewed as practically un-actionable or to lack focus and clarity regarding objectives.	To be developed.
<b>Project Issues</b>	
None were identified during Work Plan development. As issues are identified, they will be documented in the Project KnowledgeLink site.	

## G. Project Organization and Governance

The eCourts Strategic Planning Project is governed by the Technology Committee of the North Carolina Commission on the Administration of Law & Justice (NCCALJ). The vision of the NCCALJ is to utilize technology to enhance efficiency, effectiveness, and timeliness of processes critical to implementing the mission statement of the Judicial Branch. This vision is

supported by the vision of the NCAOC Technology Services Division (TSD) to provide: “The right information, at the right time, right where you are.”

The eCourts Strategic Planning Project will be governed and managed using resources as described in the two sections below.

**NCAOC Project Team**

The following table identifies the roles within the NCAOC Project Team, the individual fulfilling them, and characteristics of the role.

**Table 5: NCAOC Project Team Organization**

<b>NCAOC Project Team Organization</b>	
<b>Name/Role</b>	<b>Role Description</b>
<p><b>Justice Barbara A. Jackson, Associate Justice, Supreme Court of North Carolina; Chair, NCCALJ Technology Committee</b></p>	<p>eCourts Strategic Planning Project Judicial Branch Sponsor</p> <ul style="list-style-type: none"> <li>- Liaison between BerryDunn and the eCourts Strategic Planning Project, and the NCCALJ Technology Committee and the Commission.</li> </ul>
<p><b>Jon Williams, Senior Deputy Director; Chief Reporter, NCCALJ</b></p>	<p>eCourts Strategic Planning Project NCAOC Executive Sponsor</p> <ul style="list-style-type: none"> <li>- Provide executive support and sponsorship for the project</li> <li>- Provide overall direction and tactical vision for the project</li> <li>- Commit/assign resources to the project</li> <li>- Participate in project kickoff meeting and stress goals and objectives for the project to Judicial Branch staff</li> <li>- Provide executive-level decision-making when needed</li> <li>- Serve on the NCAOC’s project team</li> <li>- Be the liaison between BerryDunn and the NCAOC director</li> </ul>
<p><b>Jeff Marecic, Chief Information Officer</b></p> <p><b>TSD Team Members</b></p>	<p>Support the eCourts Strategic Planning Project by providing executive leadership, technical expertise and making TSD resources available as needed for the project.</p> <ul style="list-style-type: none"> <li>- Participate in technical meeting(s) to provide information related to current hardware and software standards, NCAOC infrastructure, and security standards</li> <li>- Assist in identifying integration needs with State systems</li> <li>- Review technical requirements</li> <li>- Serve on the NCAOC’s project team</li> </ul>
<p><b>Charles Fraley, Program Manager</b></p> <p><b>Ginger Helms, Project Management Administrator</b></p>	<p>Provide primary point of contact with the BerryDunn engagement manager and project manager; assist with project coordination activities, including but not limited to scheduling meetings and brokering the approval of project deliverables.</p> <ul style="list-style-type: none"> <li>- Act as main point of contact between BerryDunn and the NCAOC</li> </ul>

NCAOC Project Team Organization	
Name/Role	Role Description
	<ul style="list-style-type: none"> <li>- Assist in collecting background documentation, and coordinating meeting rooms and NCAOC staff for interviews and requirement sessions</li> </ul>
<b>Functional Area Leads</b>	<ul style="list-style-type: none"> <li>- Department or division manager responsible for a critical NCAOC business process, such as budget administration, technology, and clerks</li> <li>- Functional Area leads will:               <ul style="list-style-type: none"> <li>o Identify subject matter experts in their department/division</li> <li>o Commit subject matter experts from their department to work on the project</li> <li>o Participate in requirements-gathering sessions and vendor demonstrations</li> <li>o Participate in site visits</li> <li>o Stand ready to serve as a member of the NCAOC's project team</li> </ul> </li> </ul>
<b>Subject Matter Experts (SME)</b>	<ul style="list-style-type: none"> <li>- Judicial Branch staff with unique knowledge of business processes in their department/division</li> <li>- SMEs will:               <ul style="list-style-type: none"> <li>o Participate in fact-finding meetings</li> <li>o Identify issues</li> <li>o Participate in the prioritization of strategic issues</li> <li>o Identify projects and initiatives</li> <li>o Participate in the prioritization of strategic initiatives</li> </ul> </li> <li>- Stand ready to serve as a member of the NCAOC's project team</li> </ul>

**BerryDunn Project Team**

The following table identifies key BerryDunn roles within the project, the individual fulfilling them, and characteristics of the role. In some cases, roles are filled by individuals; in others, by groups.

**Table 6: BerryDunn Project Team Organization**

BerryDunn Project Team Organization	
Name/Title, Role	Project Role Description
<b>Doug Rowe, PMP</b> Engagement Manager	Doug is a senior manager and Justice and Public Safety Practice lead in BerryDunn's Government Consulting Group. As engagement manager, he will ensure the full commitment of our firm to this engagement and have overall responsibility for the quality of services and deliverables provided to the NCAOC, including the approval of all deliverables. He will oversee the quality and timeliness of all deliverables. Doug will also contribute his

BerryDunn Project Team Organization	
Name/Title, Role	Project Role Description
	expertise in conducting market research and analysis for courts and court case management systems.
<b>Andrew Flewelling, PMP</b> Project Manager	Andrew is a senior consultant and will serve as the project manager for this engagement. In this role, he will be primary liaison for the NCAOC, responsible for maintaining a constructive and clear line of communication between the NCAOC staff and BerryDunn. In addition, Andrew will monitor the progress of the project, track the initiation and completion of tasks and milestones, facilitate BerryDunn's on-site meetings and information-gathering activities, and lead the development of project deliverables.
<b>Amanda Findlay</b> Project Coordinator	Amanda is a consultant in BerryDunn's Government Consulting Group. As project coordinator, she will work in collaboration with BerryDunn's team and the NCAOC to conduct research, facilitate fact-finding meetings, analyze the NCAOC current environment, and develop project deliverables.
<b>Jim Pauli, Esq.</b> <b>Kate Lawrence, Esq.</b> Subject Matter Expert	Jim Pauli, Esq., and Kate Lawrence, Esq., will support the project team, using their deep knowledge of court and case management systems and processes. They will participate in the analysis of documentation, on-site fact-finding, and development of actionable recommendations and deliverables for this strategic planning project. Jim and Kate will bring expertise and market knowledge of courts software, IT solutions, and operations.
<b>Additional BerryDunn Resources</b>	BerryDunn's team will also include a project coordinator and technical writer/editor from BerryDunn's Government Consulting Group. These resources will support the project team with efforts relating to fact-finding, research, technical writing, deliverable development, and scheduling.