

## **Technology Committee Initiatives Prioritization Workshop eCourts Initiative**

July 27, 2016

10:00 a.m. – 2:00 p.m.

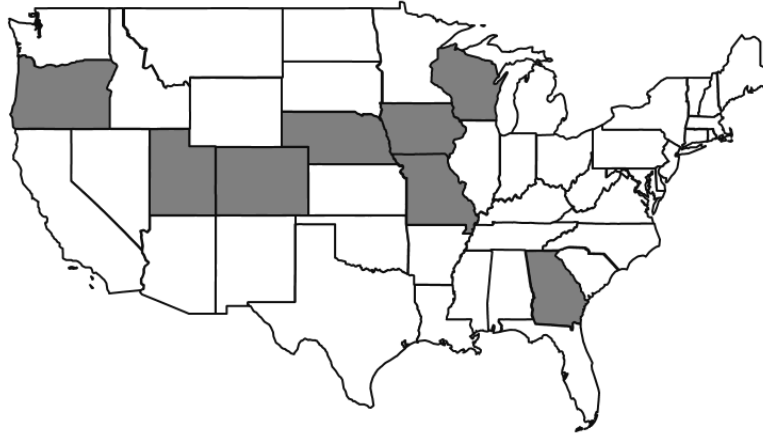
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# Agenda: eCourts Initiative Prioritization Workshop

- Workshop Approach
  - Discuss Peer States Selected for Comparison
  - Review eCourts Maturity Model
  - Discuss Gap Analysis – Peer State and Industry Review
  - Review and Confirm Preliminary List of Strategic Initiatives
  - Review and Revise Strategic Initiative Priorities
- Discuss Next Steps
  - Development of Budget and Timeline Matrix
  - Finalization of the eCourts Strategic Technology Plan
  - Final Review of the Plan
  - Presentation of the eCourts Strategic Technology Plan to NCCALJ Technology Committee

# Peer States Selected for Comparison



Utah, Iowa, Missouri, Oregon, Nebraska, Colorado, Wisconsin, Georgia

Selected by the following criteria:

- Statewide case management system (CMS) implementation method used
- Progressive interfaces with other justice systems within the State
- Broad-based and of similar jurisdictional structure to North Carolina (technically “unified” or not)
- Similar demographics, including similar population as North Carolina
- Implemented performance metrics and maintained statistics for review
- Evolution to an electronic court environment is underway and far enough along so that they can share lessons learned and reflect on the process as a whole

# Review eCourts Maturity Model (pg. 5)

eCourts Tools Maturity Model				
eCourts Element	Maturity Stage			
	Paper	Basic	Intermediate	Advanced
e-filing	Paper documents, handwritten or typed and printed	Paper documents scanned, uploaded to court and then printed	Integrated document viewing Some paper sorting/ filtering Pre-populated forms	Electronic Annotations eSignatures
Document Management	Paper documents and folders in filing cabinets Casework limited to physical proximity of the files	Scan and distribute documents through electronic means	Documents submitted and stored electronically Basic indexing	Retrieval of advanced metadata stored electronically Indexed and retrievable Electronic interpretation and presentation
Financial Management	Paper invoices, receipts, and checks Paper ledger Spreadsheets	Credit card capabilities Basic accounting, cashing, and bookkeeping Financial transactions that are not integrated into the case	Real-time access to financial history of payments and balances	Mobile online payments Seamless integration of financial interactions Real-time reports Direct deposits / automated payments
Case Management	Paper statistical reports Dictated by attorneys and litigants	Limited reports are generated	Court sets future dates and monitors continuance and delays Real-time access to case management info	Ticklers and alerts Support for multiple case types Configurable business rules and workflow
Reporting & Analytics	Admin Reports Highly manual Data is driven from multiple disparate sources	Centralized reporting mechanisms with delay and batch reporting	Real-time queues Future queues Case load reports Staff has real-time access to data required	Real-time access to information Court-wide stats Trend and predictive analysis Identified set of metrics
Public Access	Paper case files Docket lists Courthouse driven	Online access, with basic court info Kiosks in the courthouse Paper requests for public documents	Online forms to print and file Online listing of scheduling and printed lists	Real-time updates and notices Online access to publically available documents
Judicial Workbench	Day planner Case files Manual wet-ink signatures Library of legal resources	Word processing for document creation Electronic calendar Simple viewing tool for electronically scanned files	Integrated electronic multi-document viewing Prepopulated forms Sorting/filtering configurable views	100% electronic case file Secure document annotation Integrated electronic signatures Document rights management Real-time electronic case updates

# Discuss Gap Analysis – Peer State and Industry Review

(pgs. 3 – 10)

Initiatives	Operations Gap
<b>Management and Governance</b>	<ul style="list-style-type: none"> <li>• An Initiative Governance Charter has been defined, but is not yet operational</li> <li>• Business rules vary county to county.</li> <li>• Court facilities are not owned by the North Carolina Administrative Office of the Courts (NCAOC).</li> <li>• The NCAOC is not establishing the standards of all judicial education programs, nor administering the education and training for <i>all</i> judges and staff.</li> <li>• The NCAOC is currently functioning (as described by Project Management Institute [PMI] standards) consistent with Project Management and Program Management but not Portfolio Management.</li> </ul>
<b>Business Environment</b>	<ul style="list-style-type: none"> <li>• The current statistical reporting is inadequate to effectively measure business processes and performance.</li> <li>• There is little practice currently in place to determine if there is a quantifiable improvement resulting from any change in technology.</li> </ul>

## Discuss Gap Analysis – Peer State and Industry Review (pgs. 3 – 10)

Initiatives	Technology Environment Operations Gap
<b>Case Management</b>	<ul style="list-style-type: none"> <li>The NCAOC supports a system of eight case management modules that, in aggregate, comprise a CMS.</li> <li>The modules comprising case management functionality are used inconsistently, requiring redundancy in workflow, resulting in the potential for loss of information and/or files, and increased time spent to correct errors.</li> </ul>
<b>Document Management</b>	<ul style="list-style-type: none"> <li>The NCAOC currently supports the storage and retrieval of some forms of electronic documents, but this function is in its infancy.</li> <li>Searching and archiving is limited because storage flows through a shared network linked to the CMS.</li> <li>Traveling judges and justices continue to be burdened and slowed down because they are tethered to paper files.</li> </ul>
<b>e-filing</b>	<ul style="list-style-type: none"> <li>The current e-filing system supports a small percentage of the total number of cases and case types that may be filed electronically.</li> <li>The current process is time-consuming and involves an excessive use of paper for certain case types that are not set up for e-filing.</li> <li>Court clerks must maintain both manual and e-filed documents.</li> </ul>
<b>Reporting and Analytics</b>	<ul style="list-style-type: none"> <li>Reports must be requested from the Technology Services Division, limiting the timeliness and availability of reports.</li> <li>Reports are executed in batch mode, and ad hoc queries and reporting are generally not available.</li> </ul>
<b>Financial Management</b>	<ul style="list-style-type: none"> <li>The Financial Management System (FMS) is nearing obsolescence, making it difficult to find personnel to support it.</li> <li>This system is not fully integrated with the case management functionality, requiring duplicate data entry, increasing the potential for errors.</li> <li>The current system delays the amount of work a clerk can accomplish when the system limits how many cases they can have open at a time.</li> </ul>
<b>Public Access</b>	<ul style="list-style-type: none"> <li>The judicial branch supports some level of electronic access to the courts but it does not include access to all appropriate information from any location or device at any time.</li> </ul>
<b>Judicial Workbench</b>	<ul style="list-style-type: none"> <li>The NCAOC supports elements of a Judicial Workbench, but it is not a priority for the judicial branch.</li> <li>The NCAOC is not taking advantage of the tools that are available to make real-time decisions that could influence the Judicial Branch.</li> </ul>

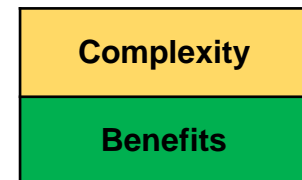
# Review and Confirm Preliminary List of Strategic Initiatives

(pg. 2)

Initiative #	Summary of Initiatives by Domain Area
1	Fully Implement Management and Governance Process
2	Identify Metrics and Conduct a Baseline Analysis
3	CMS
4	Enterprise Information Management System (EIMS)
5	e-filing
6	Reporting and Analytics
7	Financial Management System (FMS)
8	Public Self-Service (PSS)
9	Judicial Workbench

# Initiative 1 – Fully Implement Management and Governance Process (pgs. 12 – 13)

- What is it?
  - The foundation of the eCourts vision.
  - The Charter is established and defines how/which decisions are made and by whom.
  - Recommendations:
    - ◆ Expand/operationalize the Charter.
    - ◆ Implement a portfolio management framework; apply it to all projects.
    - ◆ Update project submission/prioritization process for all project sizes.
  
- Anticipated Benefits
  - Establishes a formal governance process
  - Supports a complete and commonly held vision of eCourts initiatives
  - Makes more efficient use of NCAOC staff and management personnel
  - Establishes a clearer understanding of the business needs and process changes required to support the eCourts vision
  - Makes more efficient use of Judicial Branch funds
  - Provides a foundation for all other initiatives





## Initiative 2 – Identify Metrics and Conduct a Baseline Analysis (pg. 13)

- What is it?
  - Tracking and reporting of performance metrics help determine how personnel and funding are best applied to achieve organizational goals.
  - Recommendations:
    - ◆ Determine those metrics on which the NCAOC wants to base its effectiveness and efficiency.
    - ◆ Determine the audience for whom the measures are of interest and the method of presentation.
    - ◆ Conduct a baseline analysis.
- Anticipated Benefits:
  - Increases the evaluation of effectiveness of changes and improvements
  - Enables demonstration to the public and other stakeholders of the value of the services provided
  - Enables the NCAOC to act promptly when a metric reveals an issue
  - Supports future Judicial Branch development and planning efforts

**Complexity**

**Benefits**

## Initiative 3 – CMS (pgs. 14 – 16)

### ■ What is it?

- A statewide, uniform platform that completes case initiation, docketing, scheduling, processing, decision making, adjudication, and disposition.
- Records case events, actions, and fiscal matters, including fees, fines, and costs.
- Maintains case-related documentation, court process, and reported actions necessary to initiate and process a case from initiation through dismissal.
- Provide strategic case management capabilities for all stakeholders.
- Recommendations:
  - ◆ Buy a Commercial off-the-Shelf (COTS) solution, or build a new CMS from the ground up or using a platform, and implement the solution selected.
  - ◆ Consider expectations of a CMS for quality and performance improvements.

### ■ Anticipated Benefits

- Supports uniform processing of all cases from initiation through disposition, implemented statewide, and scalable and flexible enough to accommodate updates and changes in court processes
- Includes standardized case processing workflows configured to reduce manual task assignment

**Complexity**

**Benefits**

## Initiative 4 – EIMS (pgs. 16 – 17)

- What is it?
  - A secure electronic repository used to store, retrieve, archive, and associate a variety of documents with cases and court proceedings.
  - EIMS enables electronic information sharing, exchange, and document access.
  - Images/documents/data become accessible online for searches or use by external case parties.
  - Provides public access to publicly available electronic documents.
  - Recommendations:
    - ◆ Expand workflow and EIMS content.
    - ◆ Develop a technical framework and system design.
    - ◆ Develop a conversion and data/document migration plan.
    - ◆ Establish an intake process for core documents and case types.
  
- Anticipated Benefits
  - Supports e-filing and other eCourts initiatives as a core component of the electronic record
  - Reduces workload and case processing time for clerks by automatically embedding docketed items in the CMS
  - Builds public confidence in a more efficient Judicial Branch
  - Provides a cost-effective alternative to remote physical storage

**Complexity**

**Benefits**

## Initiative 5 – e-filing (pg. 18 – 19)

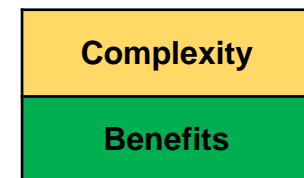
- What is it?
  - A means for the public, attorneys, and court official to submit documents/information to the court electronically.
  - Data contained in and submitted via the forms may be stored and used within CMS.
  - Receipt of documents submitted will trigger events within defined workflows.
  - Recommendations:
    - ◆ Review and change rules and statutes to require e-filings.
    - ◆ Define a new set of business requirements and consider issuing a Request for Information/Request for Proposals (RFI/RFP) to identify new solutions/vendors.
- Anticipated Benefits
  - Reduces time required for processing and between events
  - Eliminates need for physical filing space
  - Supports simultaneous access to data anytime, anywhere, by anyone (with permissions)
  - Decreases clerk’s time printing and sorting forms and files
  - Increases disposition rates
  - Increases staff productivity

**Complexity**

**Benefits**

## Initiative 6 – Reporting and Analytics (pg. 19 – 20)

- What is it?
  - A means for the NCOAC staff to analyze and report core business processes.
  - Identify areas within business processes that need change.
  - Review performance and status of case workflow and better manage case activity.
  - Recommendations:
    - ◆ Select a robust, feature-rich reporting and management analysis toolkit.
    - ◆ Incorporate data from the CMS, FMS, e-filing solution, and other places.
    - ◆ Select a system that is configurable and allows for standard and ad hoc reporting.
    - ◆ The system should integrate the CourTools standards and other performance measures in a standardized manner.
  
- Anticipated Benefits
  - Improves insight into workflow and case management
  - Improves ability to recognize where process areas need improvement or corrective action
  - Improves insight into processes and productivity that may impact or influence hiring, procurements, and other non-judicial or case-related matters



## Initiative 7 – FMS (pgs. 20 – 21)

- What is it?
  - An integrated and improved method of collecting and applying fines, fees, and costs associated with a party or a case.
  - FMS supports any method of payment through any mobile device and provides real-time updates and history of past payments.
  - The system has the ability to produce a range of management reports.
  - Recommendations:
    - ◆ The NCAOC should continue with the initiative started on April 18, 2016, and evaluate responses to that RFI.
- Anticipated Benefits
  - Eliminates the need to create charges and associated fees from the multiple existing case management systems through an integration with the CMS
  - Supports updated fees, fines, and costs, in real time, from the bench, courtroom, or cashier's window
  - Provides the ability to view outstanding balances for fees, fines, and costs, and send payment reminders and notices to citizens
  - Supports application of payment within a single system

**Complexity**

**Benefits**

## Initiative 8 – PSS (pgs. 22 – 23)

- What is it?
  - Provides the public with access to publicly available information, searching, payments, and schedules through self-service kiosks and web-based access for personal devices.
  - Documents are filed, retrieved, and work-flowed electronically.
  - Recommendations:
    - ◆ The system should be designed to enable users access to real-time updates to publically available information.
    - ◆ Expand the current capabilities to enable broader access to services and functionality through web portal links and public kiosks.
  
- Anticipated Benefits
  - Decreases in the number and type of public queries in person and at the counter
  - Increases public trust and confidence in the courts by providing online real-time access
  - Increases standardization in e-filed and online forms and documents through use of electronic online smart forms.
  - Reduces manual processing and more timely interactions between courts and public
  - Reduces paper copies and requests for hard copy records; reduces the size and storage needs for paper files

**Complexity**

**Benefits**

## Initiative 9 – Judicial Workbench (pgs. 24 – 25)

- What is it?
  - A dashboard/portal application that provides the electronic tools to meet the specific case processing, judicial decision-making, and management needs of trial court judges on the bench and in chambers.
  - The Workbench provides a single point of entry into the day-to-day operational and managerial information needed by a judge.
  - Recommendations:
    - ◆ Review the needs of the Judicial Branch and include features requested.
    - ◆ Document the internal and external interfaces and data access needs.
    - ◆ Develop the business and technical framework.
    - ◆ Define security and access privileges.
  
- Anticipated Benefits
  - Enables electronic, judge-specific case management functionality, without court clerk staff intervention
  - Provides access to case data, documents, calendars, and schedules from multiple sources provides a consolidated view, reduces reliance on paper or multi-system searches, and allows for work inside and outside the physical courtroom
  - Supports immediate access to performance and management reporting metrics; enables more frequent and accurate status reporting

**Complexity**

**Benefits**



# Review and Revise Strategic Initiative Priorities

(pg. 26)

Proposed Priority	Initiative	Implementation Complexity	Anticipated Benefits	Initiative Dependencies
1	Fully Implement Management and Governance Process	Moderate	High	N/A
2	Identify Metrics and Conduct a Baseline Analysis	Low	High	N/A
3	CMS	High	High	1, 2
4	EIMS	Moderate	High	1, 2
5	e-filing	Low	High	1, 2, 3, 4
6	Reporting and Analytics	Moderate	High	1, 2, 3
7	FMS	Low	Moderate	1, 2
8	PSS	Low	Moderate	1, 2, 3, 4
9	Judicial Workbench	Low	Moderate	1, 2, 3, 4

# Discuss Next Steps

- Development of Budget and Timeline Matrix – End of August
- Finalization of the eCourts Strategic Technology Plan – End of August
- Final Review of the Plan – End of August
- Presentation of the eCourts Strategic Technology Plan to the NCCALJ Technology Committee – September 16

# Development of Budget and Timeline Matrix

- Budget and Timeline Matrix Framework Table

No.	Name	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	Total
1	Management and Governance							
2	Baseline Metrics							
3	CMS							
4	EIMS							
5	e-filing							
6	Reporting and Analytics							
7	FMS							
8	Public Access							
9	Judicial Workbench							
	Total							

# Additional Questions/Discussion



# Considering How North Carolina Courts Can Best Meet Institutional Needs and 21st-Century Public Expectations