



# Technology Committee e-Courts Strategic Technology Plan Presentation

September 16, 2016  
11:00 a.m. – 1:30 p.m.

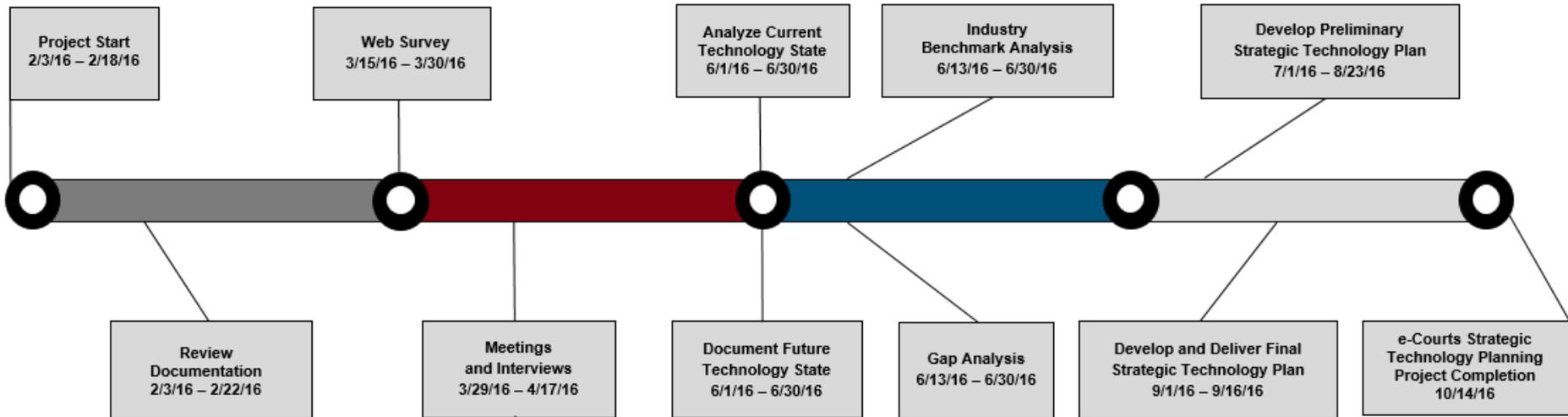
Andy Flewelling, BerryDunn  
Charlie Leadbetter, BerryDunn  
Doug Rowe, BerryDunn

# Agenda: e-Courts Strategic Technology Plan Presentation

- **e-Courts Strategic Plan Initiative (5 minutes)**
  
- **Discuss Gap Analysis (15 minutes)**
  - Discuss Peer States Selected for Comparison and Industry Review
  - Review e-Courts Maturity Model
  
- **Discuss Strategic Technology Initiatives (40 minutes)**
  
- **Discuss Budget and Timeline Matrix (30 minutes)**
  
- **Additional Questions and Discussions (30 minutes)**

# e-Courts Strategic Technology Plan Initiative Timeline

## NCAOC e-Courts Strategic Technology Planning Timeline

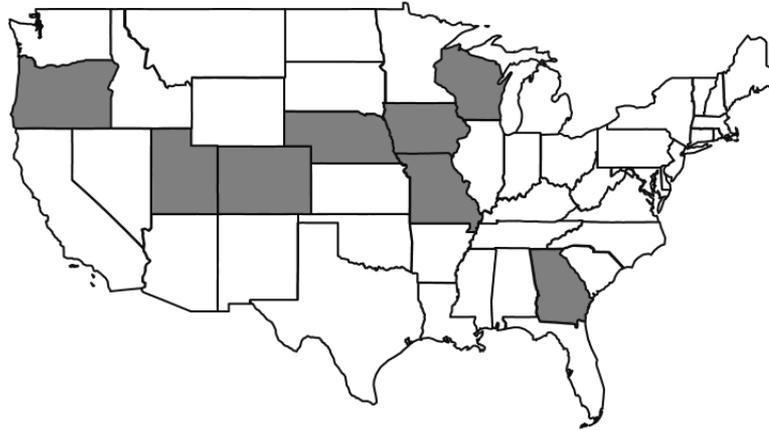


## NCCALJ Technology Committee Monthly Meetings

# NCCALJ Technology Intersections



# Gap Analysis - Peer States Selected for Comparison and Industry Review



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

Selected by the following criteria:

- Statewide case management system (CMS) implementation method used
- Tight integration with other justice systems within the State (e.g. law enforcement, DMV)
- 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

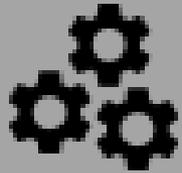
# NC and Peer States e-Courts Maturity Model Overlay

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

# Strategic Initiatives

Strategic Initiative		Implementation Complexity	Anticipated Benefits
A	Management and Governance	 Moderate	 High
B	Baseline Metrics	 Low	 High
C	Reporting and Analytics	 Moderate	 High
D	Enterprise Information Management System (EIMS)	 Moderate	 High
E	e-filing	 Low	 High
F	Integrated Case Management System (ICMS)	 High	 High
G	Financial Management System (FMS)	 Moderate	 Moderate
H	Electronic Public Access	 Moderate	 High
I	Judicial Workbench	 Low	 Moderate

# Strategic Initiatives



## Initiative A – Fully Implement Management and Governance

# Strategic Initiatives



Initiative B – Identify Metrics and  
Conduct a Baseline Analysis

# Strategic Initiatives



## Initiative C – Reporting and Analytics

# Strategic Initiatives



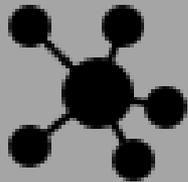
## Initiative D – Enterprise Information Management System (EIMS)

# Strategic Initiatives



Initiative E – e-filing

# Strategic Initiatives



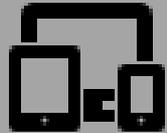
## Initiative F – Integrated Case Management System (ICMS)

# Strategic Initiatives



## Initiative G – Financial Management System (FMS)

# Strategic Initiatives



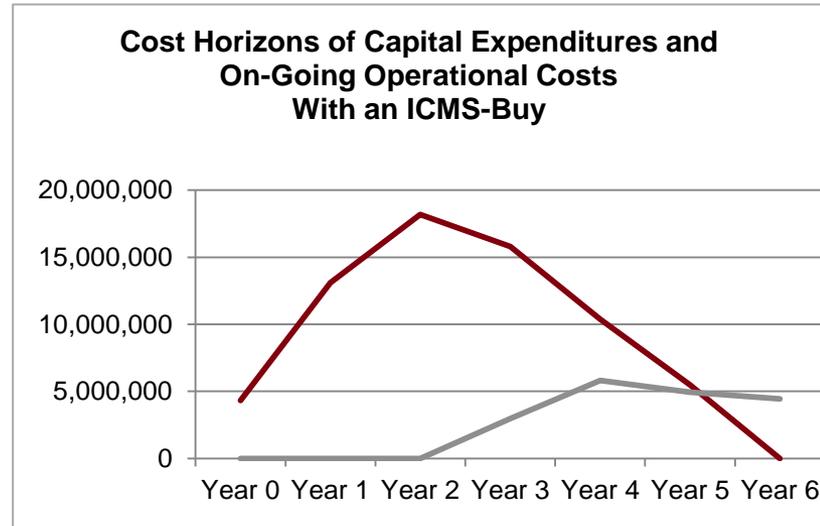
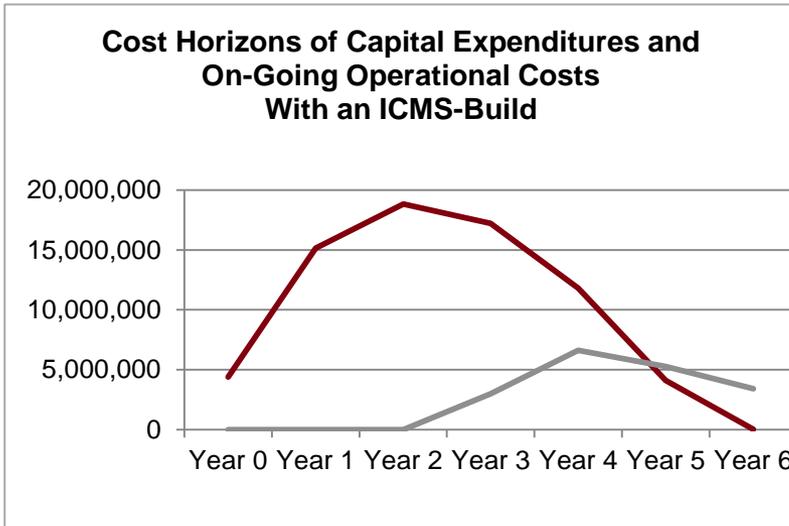
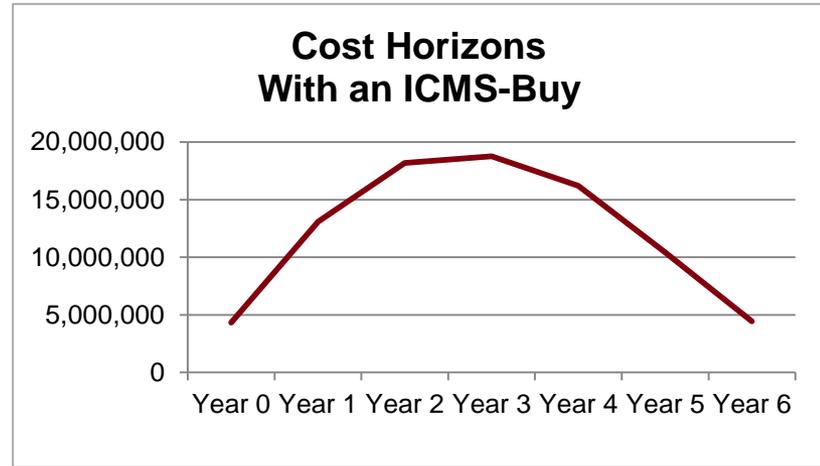
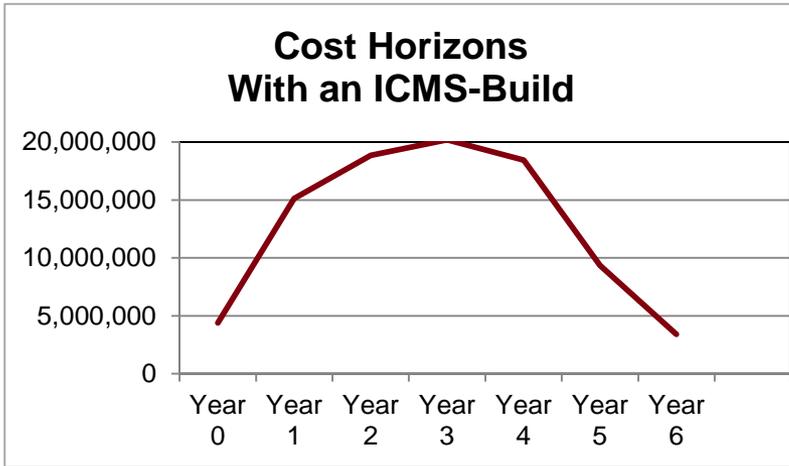
## Initiative H – Electronic Public Access

# Strategic Initiatives



## Initiative I – Judicial Workbench

# Initiative Cost Horizons



# Detailed Initiative Budget and Timeline Matrix

Initiative Budget and Timeline Matrix (\$)

Strategic Initiative			Year 0 FY2017	Year 1 FY2018	Year 2 FY2019	Year 3 FY2020	Year 4 FY2021	Year 5 FY2022	Year 6 FY2023	Base Total	Budget Target	Total with Risk Adjustment
Initiatives Starting in Year Zero												
A	M&G	Capital	\$438,264	\$918,926	\$870,202	\$6,576	\$0	\$0	\$0	\$2,233,968	\$2,490,874	\$2,747,781
		Operational	\$0	\$0	\$0	\$864,105	\$865,749	\$223,149	\$223,149	\$2,176,152	\$2,426,409	\$2,676,667
B	BM	Capital	\$70,540	\$43,647	\$29,098	\$29,098	\$0	\$0	\$0	\$172,383	\$192,207	\$212,031
		Operational	\$0	\$0	\$0	\$0	\$14,549	\$14,549	\$14,549	\$43,647	\$48,666	\$53,686
C	R&A	Capital	\$411,708	\$1,025,902	\$697,750	\$334,048	\$250,492	\$0	\$0	\$2,719,900	\$3,032,689	\$3,345,477
		Operational	\$0	\$0	\$0	\$0	\$0	\$97,200	\$97,200	\$194,400	\$216,756	\$239,112
D	EIMS	Capital	\$2,312,180	\$6,613,359	\$6,951,675	\$3,453,228	\$395,830	\$195,450	\$0	\$19,921,722	\$21,814,286	\$23,706,849
		Operational	\$0	\$0	\$0	\$2,119,963	\$1,572,606	\$1,162,506	\$947,856	\$5,802,932	\$6,354,211	\$6,905,489
E	e-filing	Capital	\$793,500	\$2,210,996	\$2,165,354	\$1,563,169	\$1,135,042	\$0	\$0	\$7,868,061	\$8,576,186	\$9,284,312
		Operational	\$0	\$0	\$0	\$0	\$0	\$360,892	\$360,892	\$721,785	\$790,286	\$858,786
F(a)	ICMS Build	Capital	\$300,141	\$3,704,495	\$9,872,789	\$11,787,013	\$8,840,465	\$4,711,733	\$0	\$39,216,636	\$43,922,632	\$48,628,629
		Operational	\$0	\$0	\$0	\$0	\$3,606,060	\$1,563,103	\$2,052,568	\$7,221,730	\$8,088,338	\$8,954,945
F(b)	ICMS Buy	Capital	\$239,241	\$296,955	\$6,450,347	\$9,889,899	\$8,515,854	\$5,275,044	\$0	\$30,667,339	\$34,194,083	\$37,720,827
		Operational	\$0	\$0	\$0	\$0	\$2,994,499	\$2,855,254	\$2,239,833	\$8,089,587	\$9,091,890	\$9,950,192
G	FMS	Capital	\$40,800	\$644,150	\$911,150	\$0	\$0	\$0	\$0	\$1,596,100	\$1,715,808	\$1,835,515
		Operational	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
H	Public Access	Capital	\$30,030	\$462,877	\$26,899	\$450,627	\$59,989	\$9,305	\$0	\$1,039,725	\$1,143,698	\$1,247,670
		Operational	\$0	\$0	\$0	\$0	\$353,388	\$216,173	\$143,425	\$712,985	\$784,284	\$855,582
Initiatives Starting in Year One												
I	JW	Capital	\$0	\$135,222	\$84,018	\$63,974	\$22,705	\$13,009	\$4,848	\$323,775	\$356,153	\$388,530
		Operational	\$0	\$0	\$0	\$0	\$16,788	\$5,596	\$5,596	\$27,980	\$30,778	\$33,576
			<b>FY2017</b>	<b>FY2018</b>	<b>FY2019</b>	<b>FY2020</b>	<b>FY2021</b>	<b>FY2022</b>	<b>FY2023</b>	<b>Base Total</b>	<b>Budget Target</b>	<b>With Risk Adjustment</b>
Total Including F(a) ICMS-Build	Capital		\$4,397,163	\$15,759,573	\$21,608,935	\$17,687,733	\$10,704,523	\$4,929,496	\$4,848	\$75,092,270	\$83,213,780	\$91,335,290
	Operational		\$0	\$0	\$0	\$2,984,068	\$6,429,140	\$3,643,168	\$3,845,235	\$16,901,611	\$18,733,073	\$20,564,536
Total Including F(b) ICMS- Buy	Capital		\$4,336,263	\$12,352,033	\$18,186,493	\$15,790,618	\$10,379,911	\$5,492,807	\$4,848	\$66,542,973	\$73,485,230	\$80,427,488
	Operational		\$0	\$0	\$0	\$2,984,068	\$5,817,579	\$4,935,319	\$4,032,501	\$17,769,468	\$19,664,625	\$21,559,783

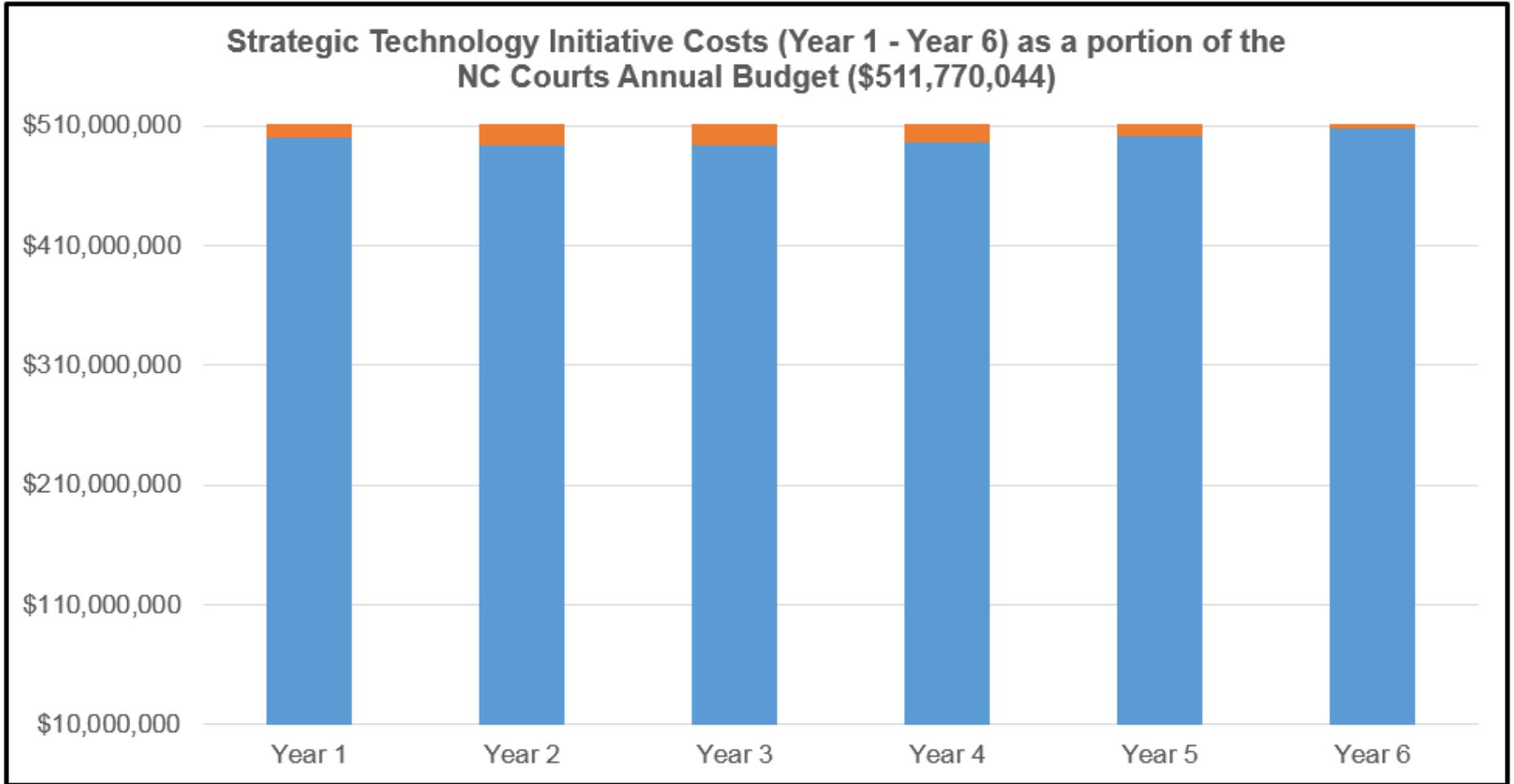
# Initiative Budget and Timeline Matrix

Initiative Budget and Timeline Matrix (\$)											
Strategic Initiative		Year 0 FY2017	Year 1 FY2018	Year 2 FY2019	Year 3 FY2020	Year 4 FY2021	Year 5 FY2022	Year 6 FY2023	Base Total	Budget Target	Total with Risk Adjustment
<b>Initiatives Starting in Year Zero</b>											
A	Management & Governance	\$438,264	\$918,926	\$870,202	\$870,681	\$865,749	\$223,149	\$223,149	\$4,410,120	\$4,919,621	\$5,429,123
B	Baseline Metrics	\$70,540	\$43,647	\$29,098	\$29,098	\$14,549	\$14,549	\$14,549	\$216,030	234,612	\$253,194
C	Reporting & Analytics	\$411,708	\$1,025,902	\$697,750	\$334,048	\$250,492	\$97,200	\$97,200	\$2,914,300	\$3,218,786	\$3,523,272
D	EIMS	\$2,312,180	\$6,613,359	\$6,951,675	\$5,573,191	\$1,968,436	\$1,357,956	\$947,856	\$25,724,654	\$28,163,407	\$30,602,161
E	e-filing	\$793,500	\$2,210,996	\$2,165,354	\$1,563,169	\$1,135,042	\$360,892	\$360,892	\$8,589,845	\$9,381,414	\$10,172,983
F(a)	ICMS (build)	\$300,141	\$3,704,495	\$9,872,789	\$11,787,013	\$12,446,525	\$6,274,836	\$2,052,568	\$46,438,366	\$52,098,002	\$57,757,639
F(b)	ICMS (buy)	\$239,241	\$296,955	\$6,450,347	\$9,889,899	\$11,510,353	\$8,130,298	\$2,239,833	\$38,756,926	\$43,233,506	\$47,710,086
G	FMS	\$40,800	\$644,150	\$911,150	\$0	\$0	\$0	\$0	\$1,596,100	\$1,714,312	\$1,832,524
H	Electronic Public Access	\$30,030	\$462,877	\$26,899	\$450,627	\$413,377	\$225,477	\$143,425	\$1,752,710	\$1,925,171	\$2,097,632
<b>Initiatives Starting in Year One</b>											
I	Judicial Workbench	\$0	\$135,222	\$84,018	\$63,974	\$39,493	\$18,605	\$10,444	\$351,755	\$388,029	\$424,303
		FY2017	FY2018	FY2019	FY2020	FY2021	FY2022	FY2023	Base Total	Budget Total	With Risk Adjustment
Total Including F(a) ICMS-Build	Capital	\$4,397,163	\$15,138,055	\$21,608,935	\$17,687,733	\$10,704,523	\$4,929,496	\$4,848	\$75,092,270	\$83,213,780	\$91,335,290
	Operational	\$0	\$0	\$0	\$2,984,068	\$6,429,140	\$3,643,168	\$3,845,235	\$16,901,611	\$18,733,073	\$20,564,536
Total Including F(b) ICMS-Buy	Capital	\$4,336,263	\$12,352,033	\$18,186,493	\$15,790,618	\$10,379,911	\$5,492,807	\$4,848	\$66,542,973	\$73,485,230	\$80,427,488
	Operational	\$0	\$0	\$0	\$2,984,068	\$5,817,579	\$4,935,319	\$4,032,501	\$17,769,468	\$19,664,625	\$21,559,783

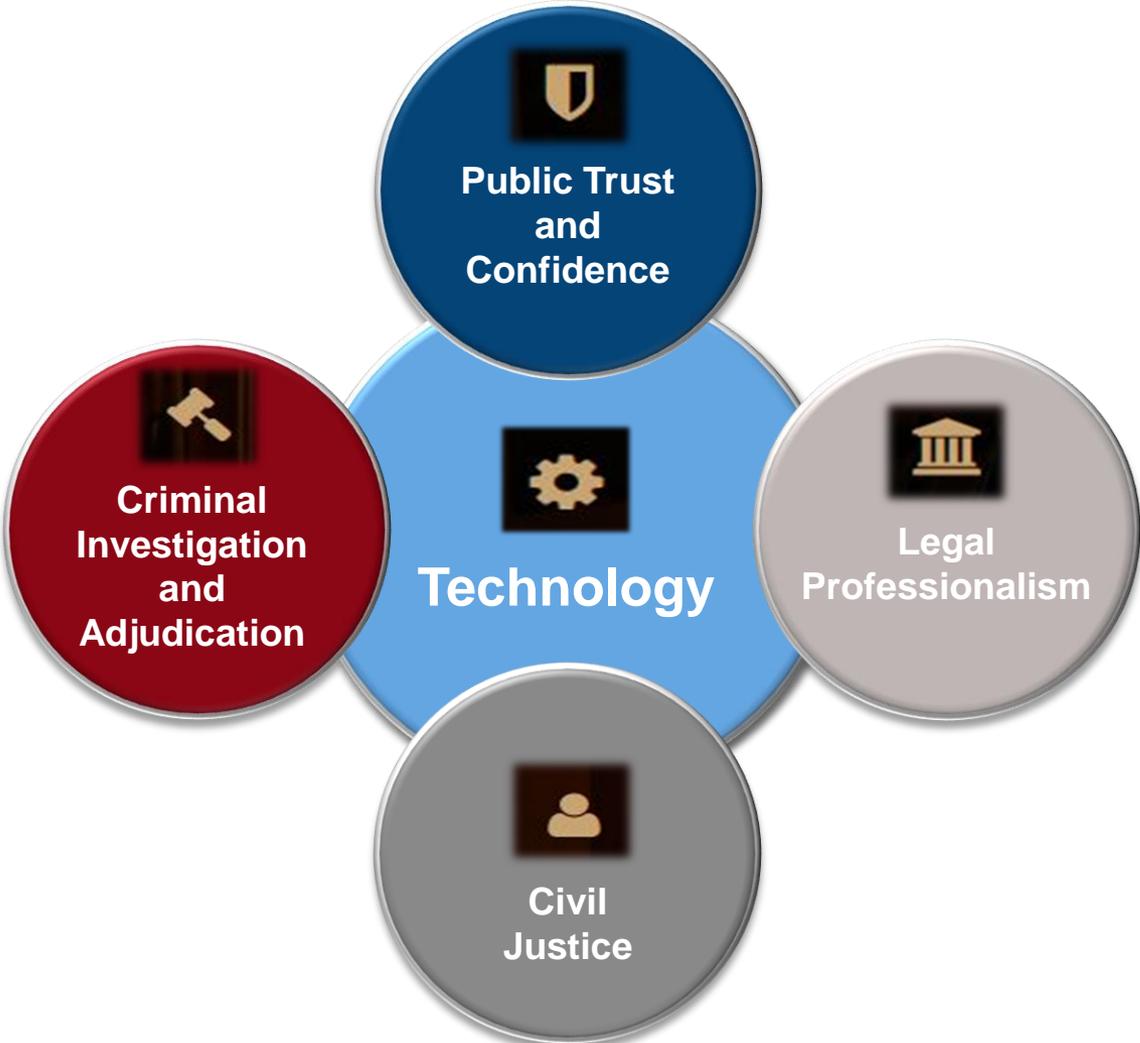
# Average Annual Operational Costs Years 7-10

Initiative Budget and Timeline Matrix (\$)		
Post Implementation - Operational Costs		
	Strategic Initiative	Average Annual Operational Cost
A	Management & Governance	\$223,149
B	Baseline Metrics	\$11,536
C	Reporting & Analytics	\$97,200
D	EIMS	\$1,357,956
E	e-filing	\$250,000- \$300,000
F(a)	ICMS (build)	\$1,200,000-\$3,100,000
F(b)	ICMS (buy)	\$1,700,000-\$3,800,000
G	FMS	Subsumed within Initiative F
H	Electronic Public Access	\$143,425
I	Judicial Workbench	\$10,444
<b>Total Average</b>		
Total Average Annual Cost Including F(a) ICMS-Build		\$3,043,710-\$4,943,710
Total Average Annual Cost Including F(b) ICMS-Buy		\$3,543,710-\$5,643,710

# e-Courts Initiatives vs. Judicial Branch Budget



# Technology Enabling Court Business Process Change



# Additional Questions/Discussion



# Considering How North Carolina Courts Can Best Meet Institutional Needs and 21<sup>st</sup> Century Public Expectations