

**Supreme Court of Florida**  
**Office of the State Courts Administrator**  
*Trial Courts Needs Assessment Project*

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**Judicial Information Strategic Plan**

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Version 1.2

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## Revision History

Date	Version	Changed By	Notes
09/25/2002	1.0	R. Szumowski	First Edition of the Strategic Plan
10/04/2002	1.1	R. Szumowski	First revision submitted for review and comment
10/30/2002	1.2	R. Szumowski	Second revision incorporating TCTC comments



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## 1. Executive Summary

Never, in the history of the world, has so much current information been available to so many people at the speed of light.

Yet, in the justice community, in life and death situations, we struggle to get the right information to the right people at the right time.

This is especially true for the judiciary – operating across multiple divisions in multiple county circuits, and needing current, accurate information from a range of state and local agencies to make effective decisions.

The lack of timely information is impacting the efficiency (time and cost) and effectiveness (decision making and accountability) of administering the justice process. The negative impact on efficiency and effectiveness is multiplied across all the participating agencies, and is ultimately borne by our citizens in the form of cost and public safety.

There is a convergence of events and opportunities that make this the right time to move aggressively to establish and achieve strategic business initiatives for improving court operations:

- ✍ The Legislature has authorized, through the State Technology Office (STO), funding to establish an initial operating capability for sharing timely and accurate state and local information with judges.
- ✍ The Trial Court Technology Committee has been actively documenting, with statewide participation of judges, attorneys, courts, clerks, and law enforcement, the functional requirements for a judicial information environment that would benefit the judicial branch and all participating justice organizations.
- ✍ The technology to support a vision of an efficient, paperless, justice process is real and available.

This plan documents initiatives, strategies, and milestones for achieving long-term goals and visions through a series of incremental steps providing quick wins, accountability, and constantly improving functionality and benefit.

The Florida judicial information environment, including all state and local agencies, is complex and supported by disparate and, in many cases, aging technology. Achieving the vision of an integrated statewide justice environment sharing critical information is a six to eight-year planned and managed project.

These goals and initiatives are necessary, important to our citizens, and achievable.



## 2. Background and Need

**Enabling fair and timely resolution.** The court established, as one of its Long-Range Strategic Goals, “the judicial branch will fairly and timely resolve issues brought before it.”<sup>1</sup> The strategies for achieving this goal included:

- ✍ Enable all courts to develop and implement a case management system that assists courts to resolve cases efficiently and timely consistent with equal protection and due process rights
- ✍ Ensure that accurate, timely, and complete information needed to make decisions is available to judges, court staff, attorneys, and other parties

The desirable outcome to evaluate achievement of that goal stated, “by the year 2004, the judicial branch will have a case management infrastructure in place to support the effective and efficient movement of cases through the system.”

The disparate nature of the technology in the state and counties makes it impossible to achieve a statewide case management capability in all Circuits by 2004. However, the Court can have a baseline case management “infrastructure” in place by 2004. The baseline infrastructure would provide relevant state information to all Florida judges on demand, and establish an environment for expanding information access and sharing to all participating justice organizations over time.

**Shared Information – a keystone for timely, effective decisions.** Information has become the most critical asset – in the hands of experienced professionals – for making fast, effective decisions. The reasons are straightforward:

- ✍ Shared information is *more accurate*
- ✍ Shared information is *more timely*
- ✍ Shared information is *more complete*
- ✍ Shared information is *less expensive*

In citing the public interest for sharing information among state, local, and federal government agencies, the National Association of State Chief Information Officers (NASCIO) offers the following motivations for sharing information:<sup>2</sup>

- ✍ More accurate – duplicate data entry in multiple systems introduces errors and inconsistency in the information
- ✍ More timely – the decision maker needs to know: is the person in custody *now*, on parole *now*, in school *now*, licensed to drive *now*, a party in other court cases *now*.

<sup>1</sup> Vision of the Florida Judicial Branch from “Taking Bearings, Setting Course: The Long-Range Strategic Plan for the Florida Judicial Branch,” 1999, which established desired outcomes for 2004.

<sup>2</sup> National Information Architecture: Toward National Sharing of Governmental Information, NASCIO, February 2000



- ✍ More complete – arrest information is valuable. Arrest information coupled with prosecution information, court information, drivers information, and correctional information is more valuable as a decision making tool.
- ✍ Less Expensive – the cost to capture, store, maintain, and resolve duplicate data is eliminated

In combination, these are compelling reasons to support and achieve our goals for enterprise judicial information sharing.

The court established 2004 as the target outcome date for having a statewide infrastructure for sharing court information. With the start of 2004 less than 15 months away, significant steps have been taken to enable an information infrastructure:

- ✍ FDLE's CJNET provides an electronic backbone where justice entities can make their applications available
- ✍ A robust judicial network provides connectivity to 90 percent of Florida's judges

Most of the information technology efforts throughout the justice community have been disjointed, uncoordinated, and under funded. As a result, these individual efforts have not created an infrastructure for accessing, integrating, and sharing required information on demand.

**Leadership and commitment – achieving the outcome.** Despite the time, the 2004 goal to establish a capability to move and share case information is achievable – the technology and the motivation exists. The critical success factors are leadership, direction, planning, participation and cooperation, resources, commitment, and patience. Completing the long-term vision for sharing enterprise information will take time – an estimated 6 to 8 years for a statewide judicial information capability in all 20 Circuits.

Properly executed, each incremental accomplishment will add information and value as the information capability is planned, designed, and deployed throughout the counties, circuits, and state.

**Right information at the right time – simply and confidently.** The operational characteristics of a successful judicial information system must include:

- ✍ Secure environment – to protect access to and sensitivity of the source information
- ✍ Single sign-on – access to all available sources with a single log-in and password. No more accessing multiple systems with different names, passwords, codes, procedures, screens, etc.
- ✍ “Anywhere” access – using browser tools, authorized users will access available information from any location using the same screens and processes – regardless of where the user is in the circuit or the state
- ✍ Judicial view – screens and navigation will be designed to support the judges' business needs for effective and efficient management of the court



- ✍ Share documents – the ability to access and distribute case related documents in a variety of electronic formats
- ✍ Notification Services – automatic alerts of events (arrests, warrants, violations, etc) or triggers (mandated deadlines, scheduled events) related to cases or case parties
- ✍ Business transactions – defined formats and protocols for exchanging electronic information with participating agencies, based on business process and judicial process workflow

**Taking the first critical steps.** The key next steps in moving forward toward making available the “right information at the right time” in a manageable and effective way, are:

- ✍ Create initial operating capability within a pilot circuit as a working model for sharing state and local information on-demand
- ✍ Provide a roadmap and measurement tool for expanding to a statewide Enterprise Judicial information environment where relevant justice information is available on demand – to be completed by FY2010

This strategic plan supports these initial steps and achieving the core vision.

## **2.1 Core Vision – Enabling Justice in the 21<sup>st</sup> Century**

During the committee meeting in August 2001, the Trial Court Technology Committee considered the following vision statement for achieving an efficient and effective judicial information environment – a tool for managing the paperless justice process.

“The Trial Court Technology Committee, in support of the Florida Judiciary and other justice system stakeholders, will integrate data sources both within and outside the Judicial and court information systems in Florida. The judicial information environment will seamlessly provide secure access to all data from all sources relevant to the efficient administration of Justice. It will make data available to each user in a fast, easy, cost-effective manner.”

Properly applied, technology is a tool to enable an efficient, effective, accountable justice process in Florida.



## 2.2 Core Business Issues

Core business issues – from a judicial perspective – and contributing business factors underscore the need and benefit for creating an environment for sharing justice information. The key business issues and factors, discussed further in Section 3 (Current Conditions and Trends) as drivers of strategic initiatives, goals, and solutions, can be summarized as follows:

**For effective decision-making**, judges need:

- ✍ Easy access to summary data from many different sources
- ✍ Ability to correlate and cross-reference data from different sources
- ✍ Automatic notification of events or information related to “persons of interest” (case parties)
- ✍ Ability to exchange information confidently in a secure environment

**Contributing business factors** include:

- ✍ User access to multiple systems is slow and ineffective. It is not efficient or effective for judges to have user access to each of the systems independently that *may* have relevant information.
- ✍ Delays in the judicial process significantly increase costs (borne by taxpayers) and impede effective application of due process for citizens
- ✍ Demands of constituents have changed – requiring faster more effective justice, information and feedback on demand.
- ✍ The Internet revolution, move to e-Government, and related changes in public expectations drive an increased demand for public access to court information and the electronic exchange of “digital objects” (i.e. documents, text, photos, graphics, sound, video)
- ✍ Not all jurisdictions or justice system participants have the technology to support information integration
- ✍ The justice environment is trapped in “stovepipe” systems that have been built around the judicial process.

**Rationale for moving forward** to an integrated judicial information environment includes:

- ✍ Single sign-on, single inquiry access to relevant information in state, local, and federal information sources will support effective administration of justice
- ✍ All participating agencies will increase efficiency and effectiveness by sharing information quickly and easily
- ✍ Technology is available to realize this strategic goal and vision.



### 2.3 Key Stakeholders and Information Participants

Ultimately, Florida’s citizens, supported by Judicial, Executive, and Legislative commitment to a fast, effective justice process, are the beneficiaries. In our initial execution of our strategy, the court must engage key critical justice entities as partners and participants. These participants will derive immediate benefit as information users and suppliers.

The table below presents the immediate stakeholders – users and suppliers – who will participate, contribute, and benefit throughout this initiative. The list will continue to grow as we increase the capability and expand the access to state and local information resources.

Stakeholders - Users	Stakeholders – Information Sources
<p>The following stakeholders would be immediate beneficiaries of a judicial information environment that enables access to and sharing of data from state and local agencies. The list of users and beneficiaries will increase over time as business functions and data sources are added to the information environment.</p> <ul style="list-style-type: none"> <li>☞☞Judges from Circuit and County Courts</li> <li>☞☞General and Special Masters</li> <li>☞☞Clerks of Court</li> <li>☞☞Florida Association of Court Clerks and Comptrollers (FACC)</li> <li>☞☞Court Administration and Court Operations</li> <li>☞☞Special Court Coordinators</li> <li>☞☞Court Technology Officers, Court Information Technology and Information Systems Coordinators</li> <li>☞☞Court Case Managers</li> <li>☞☞Sheriffs</li> <li>☞☞Florida Department of Law Enforcement (FDLE)</li> <li>☞☞State Attorney’s Office</li> <li>☞☞Public Defenders</li> <li>☞☞Private Attorneys</li> <li>☞☞Florida Bar</li> <li>☞☞Department of Corrections (DOC)</li> <li>☞☞Department of Children and Families (DCF)</li> <li>☞☞Department of Highway Safety and Motor Vehicles (DHSMV)</li> <li>☞☞Department of Juvenile Justice (DJJ)</li> </ul>	<p>The following stakeholders comprise the initial list of data sources for supporting immediate judicial business and information priorities. The list of data sources will increase over time as the information architecture capabilities are expanded, and new business transactions are identified, designed, and implemented.</p> <ul style="list-style-type: none"> <li>☞☞Clerks of Court</li> <li>☞☞Florida Association of Court Clerks and Comptrollers (FACC)</li> <li>☞☞Special Court Coordinators</li> <li>☞☞Sheriffs</li> <li>☞☞Florida Department of Law Enforcement (FDLE)</li> <li>☞☞State Attorney’s Office</li> <li>☞☞Public Defenders</li> <li>☞☞Private Attorneys</li> <li>☞☞Department of Corrections (DOC)</li> <li>☞☞Department of Children and Families (DCF)</li> <li>☞☞Department of Highway Safety and Motor Vehicles (DHSMV)</li> <li>☞☞Department of Juvenile Justice (DJJ)</li> </ul>



## **2.4 Strategic Approach**

The key inter-related actions to execute a strategic approach for creating the judicial information environment are summarized below. Each of the actions is integrated into the strategic initiatives presented in Section 5 (Strategic Goals). The key actions include:

- ✍* Define the strategic business information issues for judicial activities and accountability
- ✍* Establish the initial functional requirements in a Functional Requirements Document
- ✍* Define and document the security requirements for an enterprise judicial information environment
- ✍* Establish a 6-to-8-year goal for creating an effective, integrated, judicial information environment to support judicial activities and accountability
- ✍* Define an appropriate leadership and governance structure
- ✍* Establish technical standards, leveraging best practices from the State Technology Office and participating entities, for state and local participation in the judicial information environment – with specific goals and timelines for complying with standards
- ✍* Develop and implement an initial operating capability in a single circuit to validate capability to access state and local information on demand and make the information available to stakeholders statewide
- ✍* Establish a process for qualifying and certifying existing public and commercial applications as components of the judicial information environment
- ✍* Establish budgetary estimates for achieving strategic goals
- ✍* Define performance metrics for measuring progress against strategic information goals
- ✍* Review and update strategic information goals semi-annually

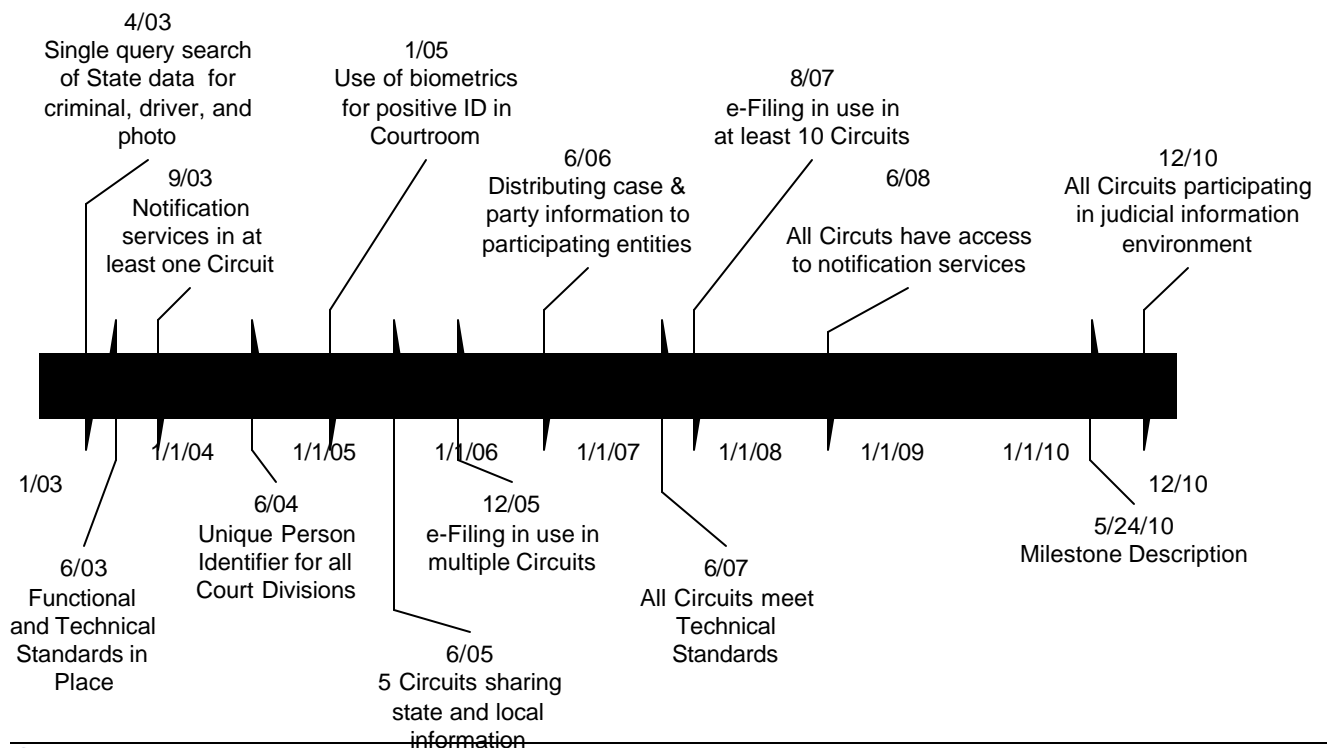


## 2.5 Goals and Timelines

The process of creating a robust, effective environment for sharing relevant information between organizations involved in the judicial process will take time – an estimated 6 to 8 years. Properly planned and executed, significant benefits can be realized almost immediately.

The timeline below illustrates possible major milestones to measure the progress toward the goal of a paperless judicial process where the right information is available to the right people at the right time for decision-making and effective administration of justice (more detailed milestone measures are defined in Section 5.3).

As part of an effective strategic planning process, these milestones should be reviewed and updated frequently to reflect progress, changing requirements and priorities, and changing technologies, capabilities, and approaches.





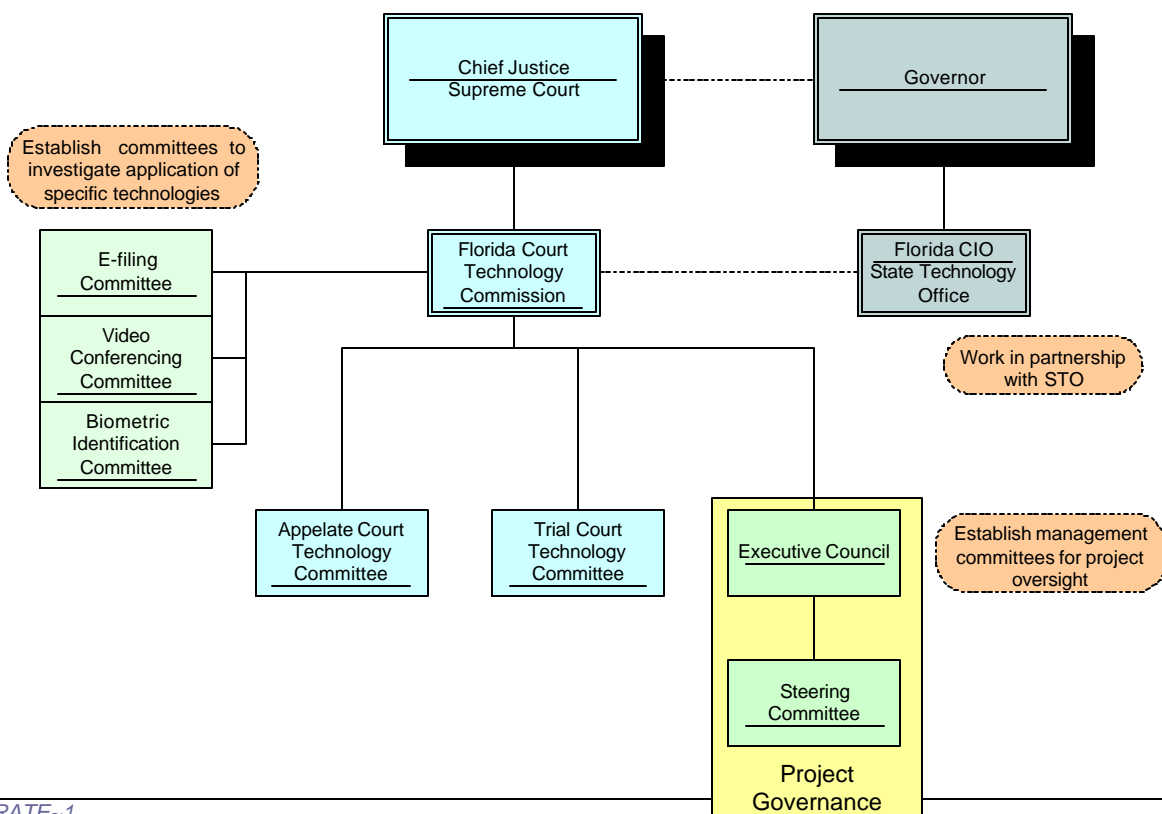
## 2.6 Governance Structure

An appropriate Governance Structure is necessary to effectively manage the path to the vision and ensure stakeholder needs are identified, understood, and addressed. The leadership begins in the Court, leveraging the exiting technology governance structure.

The Florida Court Technology Commission has charged the Appellate Court Technology Committee and the Trial Court Technology Committee with planning and managing the information technology policy, business, and technical support requirements of their respective courts. Leveraging the significant work from these committees, the Commission can partner with the State Technology Office to begin creating an enterprise judicial information environment.

In the context of the existing court technology leadership and governance structure (shown in Figure below), the Court should establish project executive oversight and continue the process of establishing committees to investigate specialized technologies.

**Executive Management Teams for project oversight.** To oversee the project, the Commission should establish an executive management structure for project governance. The executive management comprises an Executive Council and a Steering Committee, whose composition and responsibilities are as follows:





- ✍ **Executive Council**, comprising executives from participating and stakeholder entities, charged with overall policy and enterprise strategic vision related to the judicial information environment
- ✍ **Project Steering Committee** comprising members from stakeholder organizations charged with overseeing policy implementation and execution of the tactical plans for information sharing requirements and solution deployment

**Executive Management Participants.** The commission should establish guidelines for appointing representatives of the Executive Council to reflect the larger stakeholder group. As an example, the Council could comprise members appointed by:

- ✍ Florida Court Technology Commission
- ✍ Executive Office of the Governor
- ✍ Florida Legislature
- ✍ Florida Bar
- ✍ CJJIS Council
- ✍ Sheriff's Association
- ✍ Florida Attorney General
- ✍ Florida Association of Court Clerks and Comptrollers
- ✍ Department heads from participating state agencies.

The composition of the Project Steering Committee should be defined in partnership between the Trial Court Technology Committee and the State Technology Office.

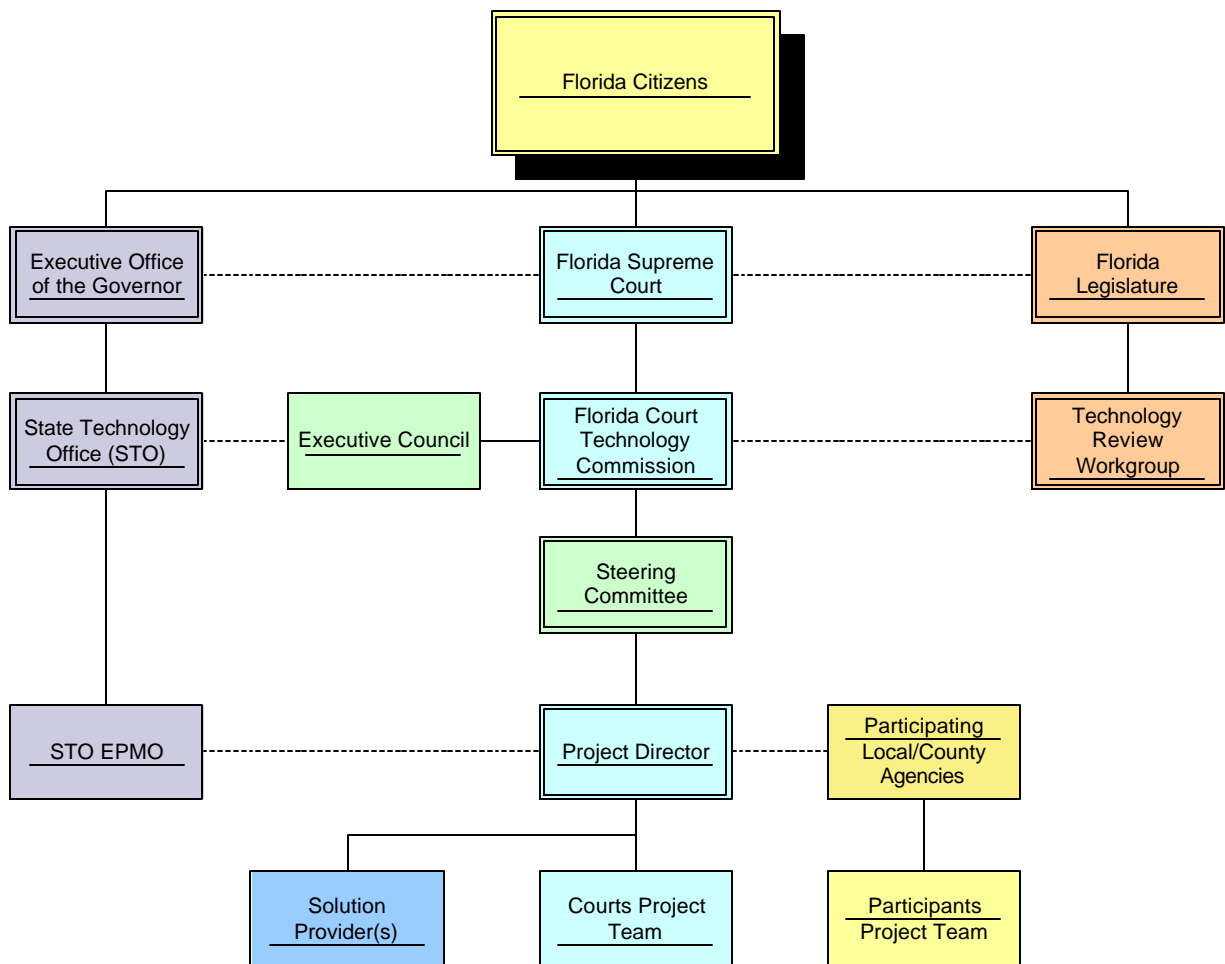
**Specialized Technology Committees.** As required, the Commission will establish ad hoc or standing technology committees to investigate and report on the judicial application of specialized or emerging technologies. The work of these committees can be applied, as appropriate, to future planning or project activities.



Within the context of the Court Technology leadership structure, a representative project governance structure will comprise the following key elements:

- ~~✍~~ Executive level sponsorship and support – Creating a mandate from the three government branches is critical to success and long-term viability
- ~~✍~~ Work in partnership with STO for a true enterprise solution, from planning and procurement through execution and evolution
- ~~✍~~ Management Committees comprising the Executive Council and Project Steering Committee
- ~~✍~~ Project Director, working on behalf of the Court-STO partnership, responsible for direct day-to-day management and implementation of the project, including management of contracted solution providers and coordination with participating agencies and their respective project teams

The Commission should retain the ability and agility to review the governance structure and make practical adjustments as solutions are deployed and participating agencies are added.





## 3. Current Conditions and Trends

### 3.1 Current Conditions – A judicial perspective

The capability of today's information technology has created an expectation level for faster, cheaper, higher-quality service levels in all aspects of our life. Our citizens and stakeholders have those same expectations of our justice system. That same information technology that is creating the expectations can be the enabler for reducing the cost of justice, improving the quality of decisions, and increasing the speed of justice.

Critical current conditions impacting the judges' responsibility for administering justice include:

- ✍ **Public Demands.** Public demands and expectations are higher than ever for
  - Fast, effective, efficient judicial processes
  - Accountability for decisions
  - Performance measures
- ✍ **Replacing Aging Technology, Integrating Disparate Systems.** Typically, public entities lag behind private sector organizations in effectively applying and maintaining technical environments. While the court's efforts to maintain current technology are significant and impressive, more effort and funding is required to create an effective judicial information environment and, ultimately, reduce the time and cost of administering the justice process. An assessment of current Florida court technology revealed:
  - 72% of the Court environments use information technology that is nearing obsolescence
  - Only 24% of the benches in Florida have connectivity to access information electronically
  - There are at least 139 different versions of court applications in the 20 Circuits/67 counties
- ✍ **Islands of Information.** Critical information is "owned" and maintained by many different state and local agencies and organizations
  - Judges and other stakeholders don't have easy access to timely, accurate information
  - Information owners often erect political barriers to access
- ✍ **Impeding the Court's Mission.** The negative impact of current conditions include:
  - Inability to access the right information at the right time creates inefficiencies in court operation at a time when there are more cases coming into the courts and public revenues are declining
  - The cost and time to administer justice is more than it could be or should be if the participating entities could share common information
  - Decisions affecting families, juveniles, and criminal incarceration are often delayed as judges wait for complete, current, and accurate information



## 3.2 Trends

**Information as an asset.** The Global 500 companies have harnessed information as a competitive and economic asset. Business to business (B2B) systems and transactions leverage technology, industry standards for interoperability, information, and relationships to:

- ✍ Reduce the cost of providing goods and services to the marketplace – leading to increased market share, increased revenues, and increased profits
- ✍ Reduce the time to deliver goods and services
- ✍ Tailor the nature of the goods and services to a specific market or individual consumer
- ✍ Collaborate, in real time, with partners and colleagues worldwide

The bottom line – increased availability of information is producing lower costs, speedier service, and increased value. They must invest – and invest efficiently – to compete and survive.

**The public sector lag.** It is typical for public sector, at all levels, to lag in adoption and investment of applied information technology and solutions. Most often, this is a conscientious protection of the public trust, an inability to accept unreasonable financial burden and risk associated with early adoption, and difficulty justifying “investment”.

**Applying business strategies to business issues.** There are movements in many public jurisdictions, including Florida, to apply sound business strategies to improve processes, improve service quality, and reduce cost as a justification for investing in new technology and information support. The judicial business needs that parallel the driving private sector investment factors include:

- ✍ Business needs – a judicial perspective
  - Budget and revenue issues in all justice agencies are creating executive demands to do more with less – increased case loads and need for efficiency
  - Applying business strategies to process improvement, service quality, and cost reduction
  - Accountability for decisions, staffing levels, and caseload
  - Information sharing from many sources as a business and decision asset
  - Information on demand as a process requirement for delivering quality, timely service – administering the judicial processes with effective disposition
- ✍ Technology as an enabler – improve application and adoption
  - Technology is improving faster than it is being applied in most justice environments – the capability exists to support information exchange to enhance management and decision-making and reduce cost of the judicial/justice process
  - Most information investment still focuses on intra-agency needs as both user and supplier of information



- Major justice integration efforts are in varying stages of completion in Pennsylvania, Washington, and Minnesota
- Judicial information technology expenditures rank significantly below peer agencies in terms of both totals and percentages (See table below)

### **Comparison of Judicial Information Technology Expenditures to other Florida Agencies**

Of the 36 Florida agencies reporting information technology expenditures in the 2000-2001 State Annual Report on Enterprise Resource Planning and Management (ERPM), the judiciary:

- ✍ Accounted for only one half of one percent (0.5%) of total state information technology expenditures (\$6.524M of \$1.172B)
- ✍ Ranked 23<sup>rd</sup> of 36 in total reported expenditure
- ✍ Ranked 34<sup>th</sup> of 36 in non-salary related information expenditures (\$4.1M of \$6.5M was salary related)

Note: Only \$2M of the \$6.5M is spent on Trial Court information technology

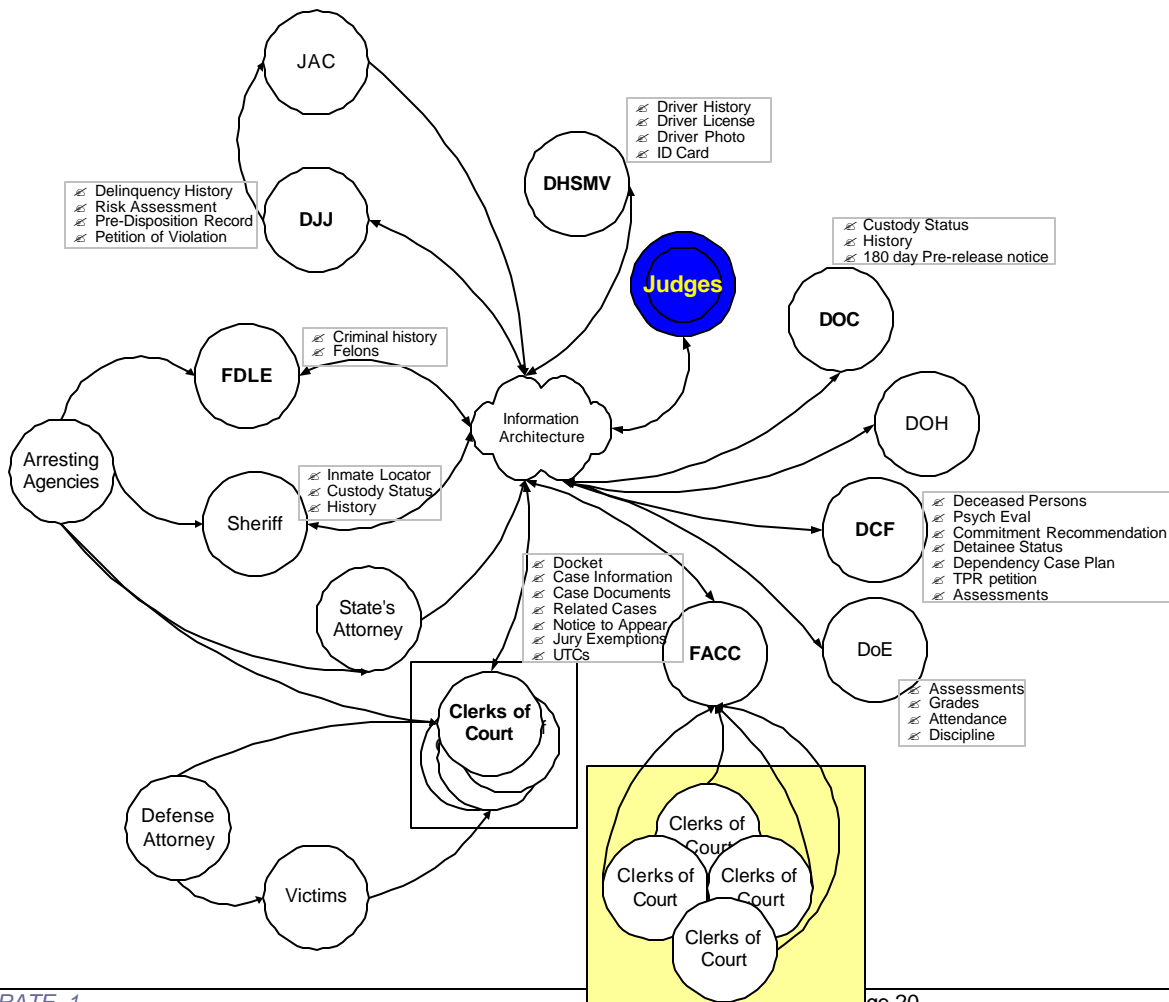


### 3.3 Judicial Enterprise information context

The JAD sessions used to articulate court business processes and identify functional requirements confirmed the judiciary needs some information from many sources to effectively administer the justice process. The summary context diagram below illustrates the key agencies that create or hold “information of value” that is used during the justice process.

Currently, this valuable information is not easily or immediately available to judges or many of the other participants in the justice process. The information is largely distributed as paper, routed to or through many agencies, and becomes static or old (losing some or all of its value) as a case progresses through the process.

The cloud in the middle of the diagram – information architecture – is at the core of our information strategic goal – to make relevant information available to participants on demand.





## 4. Strategic Issues

### 4.1 Critical Business Issues

In defining the business processes and functional requirements, the judges and other justice participants in the Joint Application Design sessions were able to articulate the underlying core business issues. These judicial business issues are the foundation and focus for the strategic initiatives. Effectively addressing these issues will improve the efficiency and effectiveness of administering and managing the justice process.

The core business issues comprising the information strategic goals and initiatives imply the judiciary needs:

- ~~✍~~ Timely, accurate information on demand from multiple local, state, and federal data sources to support effective administration of justice
- ~~✍~~ Timely access to available judicial information using fast, easy, and consistent tools from county to county – through a browser-based application in a secure environment
- ~~✍~~ Simplified access relevant information from multiple sources – with single sign-on, single inquiry, based on judicial business requirement
- ~~✍~~ Positive identification of case parties
- ~~✍~~ Access to case documents on-line, and on demand
- ~~✍~~ The ability to identify and access related cases and case parties across multiple court divisions
- ~~✍~~ The ability to identify and link family members across multiple cases and court divisions
- ~~✍~~ To receive notification of events (arrests, FTA, warrants, parole violations, etc) involving case parties
- ~~✍~~ Common offender and person tracking number and related event tracking, consistent across court divisions and justice process participants
- ~~✍~~ The ability to create and distribute case documents on-line

### 4.2 Establishing Standards

The information technology to effectively address the business issues and achieve strategic goals exists – and is improving rapidly. The single most important factor for successfully applying the technology across a complex, statewide, justice enterprise comprising hundreds of independent information systems – Establishing and Maintaining Standards.

Industry-wide, open standards for interoperability and interchange is the enabler for businesses to harness information as a competitive and economic asset. Those same open standards combined with specific judicial information standards will make it possible to achieve total statewide information integration with minimal disruption on existing systems and operations.



At a minimum, the Court, in partnership with the STO, must establish and impose the following types of standards:

*✍* **Technical standards** –establish broad, industry-based technical standards to promote and support the strategic business initiatives and judicial information environment. Technical standards must include, at a minimum:

- Hardware
- Software
- Security
- Interoperability

*✍* **Functional standards** –establish broad, judicial business-based functional standards to promote and support the strategic business initiatives and judicial information environment

### **4.3 Qualifying Solutions and Vendors**

To facilitate adoption of technology solutions while providing flexibility for local and county justice participants, the Court will define a process for vendors and agencies with existing products and solutions to pre-qualify justice application components that meet the technical and functional standards and, therefore, facilitate the justice information integration and the creation of a judicial information environment.

This qualification process will reduce the cost and risk of integrating information across the justice enterprise, and will provide a source of information for agencies and jurisdictions seeking support solutions that will facilitate participation in the judicial information environment.<sup>3</sup>

### **4.4 Participation, Compliance, and Adoption**

Studying similar statewide, multi-organization, multi-branch, information initiatives reveals several operational and political challenges, including:

- ✍* Promoting and achieving necessary participation as a user or an information source
- ✍* Achieving compliance to technical and functional standards
- ✍* Promoting adoption and participation by state, local, and county agencies

The governance structure, described in Section 2.6, is a primary vehicle to achieve political and organizational consensus on the strategic goals and approach. To the extent necessary, the Court may also consider proposing legislation and court orders to achieve the appropriate participation for realizing the improvements and efficiencies in administering and managing the justice process.

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<sup>3</sup> Pre-qualification processes will conform and comply with Florida procurement statutes and support the State's goals and initiatives for competition and One Florida



## 5. Strategic Goals

The strategic goals comprise the strategic initiatives, strategies, and timelines for incrementally achieving a statewide judicial information environment.

### 5.1 Strategic Components

There are four critical components for achieving the strategic goals. These components can be tracked, managed, and measured as indicators of progress and success:

- ✍ **Technology** – establishing goals and tracking the rate at which county and local agencies achieve the technical compliance necessary to support participation in the judicial information enterprise.
- ✍ **Functionality and Enhancements** – phased implementation, beginning with initial operating capability (pilot), of judicial business information functions and proposed enhancements over time<sup>4</sup>
- ✍ **Compliance and Participation** – a planned and managed strategy to promote participation by state, local, and county agencies
- ✍ **Deployment** – a planned and managed strategy to move from initial operating capability to statewide implementation and on-going distribution of enhancements

Each of these four components is integral to the Strategic Initiatives, and associated strategies, presented in Section 4.2.

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<sup>4</sup> The Functional Requirements Document establishes the general judicial business requirements and would be refined and further decomposed by vendor(s) selected to develop initial operating capability and subsequent functionality and deployment.



## 5.2 Strategic Initiatives

The strategic initiatives establish a series of interrelated goals and strategies for planning, managing, measuring, and achieving the vision of an integrated judicial information system for the Florida Trial Courts enterprise. Each strategic initiative is achieved through one or more strategies that define incremental activities. In some cases, descriptive bullets are provided to further define the critical elements of each strategy.

### 5.2.1 Strategic Initiative 1 – Judges will have secure “anywhere” access to relevant information from multiple local, state, and federal sources to support effective judicial decision-making and administration of the justice process

The concept of “anywhere” access means a judge (or other authorized justice process participants) can access relevant and available information from any location (office, chambers, courtroom, remote) through a web browser and tools to establish user identity (authentication and authorization).

#### 5.2.1.1 Strategy 1a – Establish and maintain judicial business, functional, and information requirements

- ☞ Document the functional requirements and information needs of the trial courts, in each of the court divisions, from a judge’s perspective
- ☞ Address requirements and information in context of judge’s court case management responsibilities
- ☞ Maintain the requirements document to address changing needs of judges and advancing capabilities for information access and sharing

#### 5.2.1.2 Strategy 1b – Establish an information architecture for accessing information from multiple data sources

- ☞ Analyze, design, and implement an information architecture to enable sharing of required and available information based on current state of technology
- ☞ Establish integration and interoperability strategies that leverage existing technology investments and minimize disruption of on-going operations
- ☞ Establish strategies for capacity planning and growth to maintain compatibility and leverage improvements in technology over time

#### 5.2.1.3 Strategy 1c – Create easy to use, browser-based tools for accessing multiple information sources through secure, single sign-on, single inquiry designed for specific judicial business context

- ☞ Implement a browser-based (or equivalent technology) information system to support “anywhere” access by judges throughout a circuit or throughout the state
- ☞ Provide security components to safeguard the sensitivity and confidentiality of court information and validate the identity of users consistent with their



privileges and responsibilities for accessing information and executing constitutional responsibility

- ✍ Enable access to available shared information through single-sign on to simplify the process for accessing required information on demand

#### **5.2.1.4 Strategy 1d – Implement Initial Operating Capability (IOC) within a single circuit as a proof of concept for integrating judicial information from local, state, and federal sources and making it available to judges statewide**

- ✍ Implement a first operational phase for creating a capability to seamlessly share information among state and local justice agencies, beginning with an initial operating capability (IOC) involving 5 state agencies and one or more county agencies within a circuit
- ✍ Prioritize 10 to 12 judicial information requirements for accessing information from multiple justice data sources
- ✍ Implement the IOC to enable all Florida judges to access information from participating state agencies (i.e. criminal history, driver history, driver license and photo, custody status, delinquency history, et al.)
- ✍ Validate the information architecture and the capability to provide relevant judicial information on demand

#### **5.2.1.5 Strategy 1e – Establish a statewide deployment and enhancement plan for implementing and evolving an enterprise judicial information/intelligence system**

- ✍ Document, maintain, and manage a multi-year, phased deployment plan to achieve statewide participation (all 20 circuits) in the judicial information system
- ✍ Plan and manage enhancements to incrementally improve information access, sharing, and notification services across participating agencies

### **5.2.2 Strategic Initiative 2 – Florida Trial Courts will promote and enable the secure sharing of information between agencies and parties involved in the justice process**

Secure sharing of information throughout the judicial process implies more than simple access to available information. Automatic update and distribution of information to appropriate participants throughout the process is a key strategic goal for increasing the efficiency and effectiveness of managing court cases and streamlining the justice process.

#### **5.2.2.1 Strategy 2a – Define the business processes and information transactions for efficiently sharing information between participating justice agencies and individuals**

- ✍ Define and document the judicial processes and workflow



- ✍ Define the trigger events and information transactions to effectively support the workflow

#### **5.2.2.2 Strategy 2b – Establish the security requirements for accessing and sharing sensitive case information in an enterprise judicial information environment**

#### **5.2.2.3 Strategy 2c – Establish process and tools for the effective and timely distribution of electronic information based on justice process workflow and events**

- ✍ Define the suppliers and users of information throughout the process
- ✍ Leverage the information architecture and interoperability tools for distribution of information as required

### **5.2.3 Strategic Initiative 3 – Florida Trial Courts will establish and maintain standards for information sharing**

Establishing and maintaining standards is critical to effective participation by state and local agencies throughout the circuits. The Trial Courts will define and maintain hardware, software, security, and information standards to enable effective exchange of information. The standards will draw from industry and state enterprise standards to provide a basis for information architecture, application, and interface design.

#### **5.2.3.1 Strategy 3a – Document and maintain integration and interoperability standards to support the secure sharing of information between agencies and parties involved in the justice process**

- ✍ Document security standards for accessing and sharing sensitive case information in an enterprise judicial information environment linking to other secure justice and public safety systems and applications
- ✍ Document integration and interoperability standards based on current industry standards and a reasonable assessment of current state of technology throughout Florida trial courts
- ✍ Standards will address, at a minimum, hardware, software, data, and interoperability components required to effectively achieve information sharing goals
- ✍ Document applied technology standards (e.g. video conferencing, e-filing, biometric identification, etc) that will improve the operations and efficiency of the judicial process
- ✍ Reference and/or include industry standards as appropriate
- ✍ Review integration and interoperability standards annually (at a minimum) to ensure on-going compliance with industry standards and improvements in technology



- ✍ Update and/or add standards when there is clear evidence changes will provide operational or cost efficiency over time and are reasonably achievable within the trial courts in all 20 circuits

#### **5.2.3.2 Strategy 3b – Establish a process for qualifying and acknowledging justice agency and commercially available applications as compatible components in the judicial information environment**

- ✍ Establish a broad set of criteria, based on documented integration and interoperability standards, for reviewing existing and proposed information components for compliance
- ✍ Establish a process for agencies, organizations, and companies to apply for qualification review and accreditation

#### **5.2.4 Strategic Initiative 4 – Florida courts will achieve a technology level to comply with established standards for accessing and sharing electronic information**

Current information technology assessments of the trial courts indicate many locations have inadequate technology to participate as users or suppliers of information in an enterprise judicial information system. The standards initiative (Strategic Initiative 3) provides a guideline for agencies and organizations to achieve a technology level to support efficient operations and information exchange. Singularly, this initiative may require the longest time to achieve because of the number of local agencies impacted throughout the 67 counties in 20 circuits and associated near and long-term budget implications.



- 5.2.4.1 **Strategy 4a – Use court-established standards to define minimum requirements for measuring readiness of justice agencies to participate in the sharing of information through the judicial information system**
- 5.2.4.2 **Strategy 4b – Consider the most current State Technology Office (STO) guidelines for information technology refresh as a baseline for planning, budgeting, and updating court technology throughout the state**
- 5.2.4.3 **Strategy 4c – Create, maintain, and update annual Circuit Technology Plans to provide structure and guidance to achieve and maintain required levels of technology support**
- 5.2.4.4 **Strategy 4b – Create, maintain, and update an annual Florida Trial Court Technology Plan to consolidate Circuit Technology Plans and provide structure and guidance to achieve and maintain required levels of technology support**
- 5.2.4.5 **Strategy 4e – Consider the need to propose legislation or create court orders to mandate participation in the judicial information environment and compliance to established information and technology standards**

**5.2.5 Strategic Initiative 5 – Provide notification of events (arrest, FTA, citation, warrant, etc) involving designated persons of interest (case parties)**

The ability to receive notification of events associated with case parties introduces a proactive capability to managing cases, making judicial decisions, and reducing the cost of the judicial process. By “pushing” relevant information to appropriate justice participants, workflow is made more efficient, delays are reduced or eliminated, and timely decisions are made based on the most current and accurate information.

- 5.2.5.1 **Strategy 5a – Establish a messaging capability that supports “publish and subscribe” for notification of events involving persons of interest**
  - ~~///~~ Include notification and messaging capability as integral components of the information architecture
  - ~~///~~ Document notification requirements and information needs within the Functional Requirements Document
  - ~~///~~ Create a business transaction specification as a guideline for designing and building notification transactions between agencies
- 5.2.5.2 **Strategy 5b – Establish capability to notify on trigger events associated with case, statutory, or user established requirements or guidelines**



### **5.2.6 Strategic Initiative 6 – The Paperless Court – the Florida judicial process will mandate electronic filing of court documents and records and on-demand access to existing court documents in multiple formats**

The concept of a paperless judicial process implies information can be created, distributed, stored, accessed, integrated, and maintained electronically, with the capability of producing paper record equivalents if and when necessary. The goal of a paperless court is achievable over time, and presupposes certain incremental technological steps.

In addition to accessing and sharing information stored as data, it is critical for judges (and other authorized participants) to have access to the documents or “artifacts” associated with a file or case parties. Many of the artifacts are created as part of the case process and are stored in one of several forms

#### **5.2.6.1 Strategy 6a – Mandate access to case documents created and stored in application format (i.e. Word, WordPerfect, PDF, etc.) and linked through association to a case file**

#### **5.2.6.2 Strategy 6b – Mandate access to scanned or imaged documents linked through association with the case file and indexed through the docket**

#### **5.2.6.3 Strategy 6c – Mandate Electronic Filing and access to documents filed electronically**

- ✍* Adopt and include standards for electronic filing, capture and storage of data flagged within the document, and retrieval (screen and/or print) of the physical document on demand, consistent with State Law and Court Rule
- ✍* Adopt strategies and technologies for electronic signature or equivalent in accordance with applicable Florida Statute(s)
- ✍* Adopt strategies for real-time creation and distribution of judicial documents associated with case actions
- ✍* Coordinate standards and development efforts with other stakeholder agencies and technical working groups (e.g. Florida Bar)

### **5.2.7 Strategic Initiative 7 – Florida judges will have one or more means of establishing positive identification of case parties**

There are two elements of tracking case parties and persons of interest across multiple information sources:

- ✍* Creating a *unique* identifier, associated with an individual (non-criminal), as a common reference in each participating system



~~✍~~ Establishing positive identification of person(s) of interest

The trial courts must address each element to efficiently track individuals and accomplish goals and requirements for associating related parties and cases

- 5.2.7.1 Strategy 7a – Define requirements and business scenarios for establishing and applying unique identification of case parties**
- 5.2.7.2 Strategy 7b – Provide one or more mechanisms to establish positive identification of case parties**
- 5.2.7.3 Strategy 7c – Apply existing available techniques for unique identification to the trial court processes and events**
- 5.2.7.4 Strategy 7d – Plan to integrate future identification technologies into court processes and events managed through the judicial information system (i.e. Drivers License and state-issued Identification Cards with biometric information encoded)**
- 5.2.7.5 Strategy 7e– Define methods for correcting clerk of court records based on positive identification of case parties**
- 5.2.7.6 Strategy 7f – Define and implement methods for updating and distributing party identification notifications to applicable agencies**

## **5.2.8 Strategic Initiative 8 – Establish a plan for Information Security for trial courts in the context of the enterprise judicial information environment**

The ability to access and share information from participating agencies through a judicial information environment introduces a need to plan for and implement appropriate security measures to ensure integrity, availability and confidentiality of information. This includes but is not limited to business continuity and disaster recovery processes. Strategy 8a – Establish a Security Program for information under immediate control of the Court.



- 5.2.8.1 Establish a Security Program for information under immediate control of the Court.**
- 5.2.8.2 Strategy 8b – Evaluate programs in participating agencies to ensure adequate information security safeguards and controls are in place.**

**5.2.9 Strategic Initiative 9 – Create standard statistical reports as support tools for managing the courts more efficiently and effectively**

Defining appropriate sets of court data and providing relevant statistical reports would greatly facilitate judges' ability to manage and operate the courts more effectively.

- 5.2.9.1 Strategy 9a – Establish a Statistical Reports Workgroup to define reports required to efficiently and effectively manage caseload and judicial process**
- 5.2.9.2 Strategy 9b – Define metrics and processes for effective weighted caseload measurement based on court division, case type, case characteristics, and case complexity**



### 5.3 Strategic Initiative Milestones and Measures

This section defines the desirable outcomes, timeline goals, and measures of success for each of the strategic initiatives.

This section provides the general roadmap for establishing the statewide judicial information enterprise over time.

Initiative	Desired Outcomes		
	Short-term	Mid-term	Long-term
<p>1</p> <p>Judges will have secure “anywhere” access to relevant information from multiple local, state, and federal sources to support effective judicial decision-making and administration of the justice process</p>	<ul style="list-style-type: none"> <li>Document baseline judicial business, functional, and information requirements by 12/02</li> <li>Implement Initial Operating Capability in one county accessing multiple state and county information sources by 6/03</li> <li>Multiple state information sources available to all Florida judges by 6/03</li> </ul>	<ul style="list-style-type: none"> <li>Expanded functionality supporting all court divisions by FY05</li> <li>25% of Florida judges have anywhere access to state and circuit information by FY06</li> </ul>	<ul style="list-style-type: none"> <li>All Florida Judges will have “anywhere” access to state and circuit information by FY10</li> </ul>
<p>2</p> <p>Florida Trial Courts will promote and enable the secure sharing of information between agencies and parties involved in the justice process</p>	<ul style="list-style-type: none"> <li>Information architecture to support information sharing defined and deployed by 6/03</li> <li>Core judicial business processes and transactions involving one local and one state agency are defined and supported by FY04</li> </ul>	<ul style="list-style-type: none"> <li>Circuit-wide judicial business process and transactions involving all appropriate local and state agencies are defined and supported in 5 Circuits by FY05</li> </ul>	<ul style="list-style-type: none"> <li>All Circuits share information at local and state level to support business processes and information transactions by FY10</li> </ul>
<p>3</p> <p>Florida Trial Courts will establish and maintain standards for information sharing</p>	<ul style="list-style-type: none"> <li>Baseline standards are documented by 6/03</li> <li>Florida trial courts will begin reviewing and qualifying systems and applications by FY04</li> </ul>	<ul style="list-style-type: none"> <li>Standards are reviewed and updated, as required, annually</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
<p>4</p> <p>Florida courts will achieve a technology level to comply with established standards for accessing and sharing electronic information</p>	<ul style="list-style-type: none"> <li>Circuits will begin documenting Circuit Technology Plans by FY04</li> <li>The Florida Trial Courts will document Technology Plan by FY04</li> <li>At least 5 Circuits will meet minimum technology standards by FY04</li> </ul>	<ul style="list-style-type: none"> <li>50 % of Florida Circuits will meet minimum standards by FY06</li> </ul>	<ul style="list-style-type: none"> <li>All Florida Circuits will meet minimum standards by FY08</li> </ul>



Initiative	Desired Outcomes		
	Short-term	Mid-term	Long-term
<p>5</p> <p>Provide notification of events (arrest, FTA, citation, warrant, etc) involving designated persons of interest (case parties)</p>	<p>Notification services for at least one judicial business requirement is available in IOC by 6/03</p>	<p>Local and state participants are exchanging event notifications in at least 5 Circuits by FY05</p>	<p>Local and state participants are exchanging event notification in all Circuits by FY08</p>
<p>6</p> <p>The Florida judicial process will support electronic filing of court documents and on-demand access to existing court documents in multiple formats</p>	<p>The judicial information system will support access to available case documents by FY04</p> <p>Adopt standards for electronic filing and retrieval of court documents by FY04</p> <p>Define standards and strategies for electronic signature by FY04</p>	<p>Florida Trial Courts will accept electronic filing and distribution of court documents in 10 circuits by FY07</p> <p>Florida Trial Courts will demonstrate the ability to create, sign, and distribute court generated documents electronically in at least one circuit by FY07</p>	<p>Florida Trial Courts in all circuits will accept electronic filing and distribution of court documents by FY10</p> <p>Florida Trial Courts in all circuits will have the ability to create, sign, and distribute court generated documents electronically by FY10</p>
<p>7</p> <p>Florida judges will have one or more means of establishing positive identification of case parties</p>	<p>Define business requirements and processes for establishing positive identification of case parties by FY04</p> <p>Determine feasibility of one or more methods for positive identification by FY04</p> <p>Target criminal process first to leverage well defined processes and techniques for identification and tracking</p> <p>Demonstrate use of positive identification in the courtroom in at least one circuit by FY05</p> <p>Define standards and strategies for a common individual tracking reference through each participating system by FY05</p>	<p>Define standards and strategies for distributing updated information to participating systems, based on positive identification of individuals, by FY06</p> <p>Demonstrate use of positive identification techniques in the courtroom in at least 5 circuits by FY07</p>	<p>Florida Trial Courts in all circuits will have the capability to establish positive identification of case parties, consistent with defined requirements and processes, by FY10</p> <p>Florida Trial Courts in all circuits will have the ability to distribute update information, based on positive identification of individuals, to participating agencies by FY10</p>
<p>8</p> <p>Establish a plan for disaster recovery and business continuity in the context of an enterprise judicial information environment</p>	<p>The Trial Courts will business continuity requirements by FY04</p> <p>The Trial Courts will define a method for reviewing participating agency disaster recovery by FY04</p>	<p>The Trial Courts will maintain and update the business continuity and disaster recovery plan for the judicial information environment.</p>	<p>The Trial Courts will maintain and update the business continuity and disaster recovery plan for the judicial information environment.</p>



Initiative	Desired Outcomes		
	Short-term	Mid-term	Long-term
<p>9</p> <p>Create standard statistical reports as support tools for operating the courts more efficiently</p>	<ul style="list-style-type: none"> <li>Establish a Statistical Reports Workgroup by FY04</li> <li>Define reports required to efficiently and effectively manage caseload and judicial process by FY04</li> <li>Define metrics and processes for effective weighted caseload measurement by FY04</li> <li>Trial Courts in at least one circuit are using statistical reports as management tool by FY05</li> </ul>	<ul style="list-style-type: none"> <li>Trial Courts in at least five circuits are using statistical reports as management tool by FY06</li> </ul>	<ul style="list-style-type: none"> <li>Trial Courts in all circuits are using statistical reports as management tool by FY10</li> </ul>



## **6. Budgetary Estimates**

This section will provide “high level” cost estimates for the strategic initiatives.

The budgetary estimates are provided under separate attachment.