



Oregon Judicial Department  
Enterprise Services Technology Division



Oregon Judicial Department

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## IT Strategic Plan – Oregon eCourt Program

Version 6.0 April 15, 2009

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## 0. Document Information

### 0.1 Document Purpose

The Judicial Branch's Oregon eCourt Information Technology Strategic Plan (TSP) has been updated to describe the strategies and plan for implementing the Oregon eCourt Program over 10 years (FY 2008 – FY 2017) given the needs of the courts and the reality of the current economic environment. The plan describes the environmental context, presents an analysis of the situation, documents the vision for the future, identifies the strategies and tactics to be employed, and describes the estimated costs and benefits of the Oregon eCourt Program.

The current Oregon Judicial Department (OJD) technology applications, tools, and business processes have provided a foundation for court case processing activities for over 20 years, but they are aging and vulnerable. As the courts experience increasing caseload and cost pressures, and try to support diverse community and cultural needs, they are limited in their ability to respond to these increasing and changing demands. Fortunately, implementation of the following strategic plan will provide useful new technology and replace old outdated technology. In addition, this improved and refined IT strategic plan will significantly improve accessibility and will increase overall system efficiency for years to come. The OJD Oregon eCourt Technology Strategic Plan provides the path for fundamentally changing the operations of the trial courts, appellate courts and OSCA. This allows for improved service delivery from anywhere at any time.

Oregon is currently experiencing a severe economic downturn that has dramatically reduced state income tax revenues. This has led to reduced funding for the Oregon eCourt effort in addition to reductions to the OJD operating budget. The program implementation team has responded to this situation by extending timelines and reducing scope for many of the projects that make up the overall Oregon eCourt Program. However, the overarching strategies and approach to Oregon eCourt that are contained in this document remain essentially unchanged.

The content and analysis in this updated version of the plan reflect the activities of the OJD leadership during the second half of 2008 and the first quarter of 2009. It builds upon previous work done over the past four years. This plan (Version 6.0) represents a compilation of material and content from previous versions of the OJD TSP and direction that emerged from strategic decisions by the Chief Justice, SCA, and CIO. It incorporates an understanding of the current economic and political environment and provides for flexibility in implementation to meet the challenges of the day.

Version	Date	Description/Changes
1.0 – 4.0	3/27/07	2007 refresh versions. Version 4.0 was finalized and approved.
5.0	6/9/08	Baseline version for 2008 refresh by MTG Management Consultants, LLC.
5.1	6/20/08	Updated baseline with items from discussion with Mr. Bud Borja; see e-mail for list of item changes.
5.2	7/8/08	Added Executive Summary.
5.3	7/11/08	Incorporated OJD reviewers comments

5.4	7/12/08	Includes MTG editor changes and OJD reviewer comments
5.5	8/20/08	Updated version with all changes made.
5.6	12/31/08	Final version, incorporated a few minor changes,
5.7	4/1/09	Reformatted to standard OJD format.
6.0	4/15/09	Final update to reflect current Oregon eCourt approach.

**0.2 Related Documents**

<b>Document</b>	<b>Location</b>
OJD Technology Strategic Plan Schedule	Project Drive
OJD Technology Strategic Plan Budget	Project Drive
Business Case for the Oregon eCourt Program	Project Drive

# 1. Executive Summary

The Oregon Judicial Department's (OJD) Oregon eCourt Information Technology (IT) Strategic Plan (TSP) addresses the complexities associated with operations of the appellate and trial courts, and the statewide use and management of technology within all the courts and Office of the State Court Administrator (OSCA). The TSP reflects the efforts and outcomes associated with the Judicial Branch's migration toward a fully electronic court.

OJD is an information-based business. OJD relies extensively on up-to-date, accurate, available information to provide fair and accessible justice services that protect the rights of individuals, preserve community welfare, and inspire public confidence.

The information management systems that OJD depends on today were developed internally over 20 years ago. Today, there are only a few staff remaining that understand and know how to maintain these aging systems. The systems are siloed, inflexible, cannot leverage new technologies or enable improved business practices. They inhibit our ability to promote new and improved ways to share court data with criminal justice and human service agencies, legal and business stakeholders, and the public. A key system, OJD's Financial Information Accounting System (FIAS) which processes upwards of \$250 million in revenue a biennium, is difficult or impossible to modify to accommodate policy, law or business practice changes. Additionally, much of the current hardware used for these systems is reaching end-of-life and will need to be replaced.

In addition to the aging and inflexible computer systems, OJD's businesses practices are inflexible and inefficient due to a continued heavy reliance on paper-based processes. The OJD handles approximately 50,000,000 (million) pieces of paper per year. This equates to about 10,000 boxes of paper that weigh in at 500,000 lbs or about 250 tons. Over a ten year period the OJD handles and moves about half a billion pieces of paper. These paper-intensive, manual processes combined with the very real threat of budget/staff reductions threaten OJD's ability to fulfill its mission.

Over the next ten years, OJD will transform the business operations of the Oregon state courts through the creation of a statewide electronic court termed "Oregon eCourt." Oregon eCourt will be the largest and most accessible courthouse in the state – one that provides a common experience for all citizens and businesses of Oregon, no matter how they choose to access services or where they are located. It will be the one place that the public may visit to do business with any trial or appellate court in the state. The new technologies used to create Oregon eCourt will enable Oregon's state courts to evolve business processes to more effectively serve judges, court personnel, the legal community and the needs of the citizens of Oregon.

## 1.1 Background

In early 2004, Oregon's Chief Justice appointed a Special Task Force on Future Technology in the Oregon Courts. The task force was composed of appellate and trial court judges and trial court administrators (TCAs), as well as members from the Office of the State Court Administrator (OSCA) and the Oregon State Bar. In addition, court justice system partners were invited to participate in helping the task force identify, prioritize, and address the myriad of complex issues surrounding the needs and use of technology within Oregon State Courts system. The purpose of the task force was to provide the Chief Justice and State Court Administrator (SCA) with a Strategic Plan and recommendations for the future direction of OJD technology systems.

A Strategic Plan was developed, based on a detailed assessment of business and technology needs and approved by the Task Force, which directed OJD to move toward an electronic or paper-on-demand court system that provides for the active participation of stakeholders in many of the business processes. Early in 2005, OJD established a 15-member Technology Committee (TC) composed of judges, TCAs and executive staff from OSCA to lead the implementation of the Strategic Plan. In late 2006, the TC approved an updated OJD Technology Strategic Plan and formed initiative teams made up of court personnel to start planning the business changes and system or technology acquisitions.

In March 2007 the State Court Administrator (SCA) hired a new Chief Information Office (CIO) with the responsibility of managing both the OJD Enterprise Technology Services Division (ETSD) and implementing the OJD Technology Strategy Plan. The Oregon eCourt Program, when complete, effectively addresses the goals and strategies outlined in the OJD Technology Strategic Plan.

## 1.2 Situational Analysis

Through the analysis of court business and technology needs and input from OSCA, the OJD Technology Committee, and a survey of peer states and the vendor community, a large number of business needs and high-level strategic issues were identified and documented in an OJD Technology Needs Analysis. From there, a list of strategic issues were identified and presented to OJD leadership for consideration. The manner in which these strategic issues are addressed largely determines the overall outcome of the plan implementation over the course of 2008–2017. However, certain timelines may be accelerated or slowed down based upon funding availability and the success of business process change implementation within the courts, allowing for program completion as early as 2015 or beyond 2017. These strategic issues are:

- What is the most efficient means of providing services to customers? Are Oregon State Bar and the public going to readily adapt to the new electronic services?
- How will the OJD maximize the reduced funding for the first phases, while committing to the complete vision?
- Should or can some similar business functions across the trial and appellate courts be integrated into a centralized or single-services environment?
- Can the Department leverage partnerships with other government entities to provide the technology required to integrate state and local agencies?
- How aggressive should the agency be in implementing this TSP and moving to a new business environment given the current economic and political environment?

The approach to addressing these strategic issues will shape the manner in which the Oregon state courts will operate and use technologies in the future. Revised vision and implementation plans defined the approach to meeting these issues while prudently continuing to move forward.

## 1.3 Future Vision

OJD's strategic business plan defines a vision for a new court operating environment based on significant business restructuring and change enabled by both new technology capabilities and the changing business environment. The new environment is focused on a future electronic court, termed "Oregon eCourt," where services will be available to the legal community, businesses and the public over the internet. The Oregon eCourt environment will support the electronic filing (eFiling) of court documents,

payment of court fines and fees, access to court calendars, communications with judicial officers and court staff, and other services. This new environment will allow for reengineering of court business processes and management.

The online courthouse will be located on the internet, and it will provide many of the existing court services using an assisted self-service model, much like travel and retail Web sites do today. The public will access the Oregon eCourt using standard computer and Web browsing technology. The Web site that hosts Oregon eCourt will provide a variety of services to the public, attorneys, and the business community, as well as to other state and local court stakeholders. These services will include direct access to information, a number of new interactive services, and educational materials.

The applications and services developed for Oregon eCourt will also be leveraged to increase the efficiency and effectiveness of the OSCA. Electronic document management can be used in the procurement, policy, documentation and archiving areas. ECM workflow can be used to automate many daily activities and approval pathways within OSCA, and between OSCA and the courts. The financial management system can be used to provide timely, detailed analyses of expenditures, payment types, collections trends, fees and other fiscal related information to Business and Financial Services Divisions. The portal can be used to create composite applications for OSCA that include functions of multiple systems, Electronic Content Management (ECM), Financial Management System (FMS), Case Management System (CMS), for staff that work with many aspects of court and OSCA processes.

## **1.4 Implementation Plan**

The Oregon eCourt Program is organized into ten program areas, each consisting of multiple initiatives and each initiative consisting of multiple tactical projects. The modular structure of the Oregon eCourt Program enables changes to individual components or projects without changes or impacts to the whole Program. This gives OJD flexibility to respond to and incorporate future business needs, technology changes, and mandates requirements from the legislature. The ten major program areas include Appellate eCourt, Infrastructure, ECM, Web Portal, CMS, FMS, Integration Backbone, Decision Support, Program Support, and OSCA.

The schedule for the Oregon eCourt Program has been designed to deliver value to the courts over the 2008–2017 fiscal years, or as early as 2015 depending on the availability of funding. Each biennium will provide a complete set of functionality that is not dependent on additional legislative funding. The design of each project will include completion of specific deliverables and functionality and initiate tasks critical for the following Oregon eCourt Program funding cycle.

## **1.5 Budget and Funding**

The cost of the Oregon eCourt Program for development and implementation is estimated to be \$118 million over a ten-year period, including a \$10 million contingency. This is the net new one-time cost above and beyond what we will be spending out of the OJD base General Fund budget. The budget is premised on a number of project-level contingencies that are conservatively built into the cost estimates.

OJD's strategy for funding the early stages of Oregon eCourt was to request debt financing from the 2007 Legislature. As a result of that process, OJD received \$2 million from the general fund to complete planning work.

The 2007 Legislature created the Joint Legislative Interim Committee on Court Technology with the passage of HB 2331. The Interim Committee was tasked with evaluation of the OJD technology transition plan and making recommendations to the Legislative Assembly regarding the OJD strategic plan, deliverables, costs of the plan, funding of the plan, and oversight of OJD's technology initiatives.

In the fall of 2007 the Department developed and presented the funding proposal for the Oregon eCourt program to the Interim Committee. In December 2007, the Interim Committee recommended funding of Oregon eCourt for 2007-09 with Certificates of Participation (COPs).

During the February 2008 Supplemental Session, the Legislature approved \$24.4 million of COPs and authorized OJD to spend \$2 million of Other Funds working capital to complete the first two stages of Oregon eCourt. The initial \$8 million of COPs were sold in summer 2008 with the remainder to be sold in spring 2009.

Staff and contractor resources were acquired in the spring of 2008, and work began on the individual initiatives that make up the Oregon eCourt Program. OJD returned to the legislature for expenditure authority and approval of the second COP sale in February 2009. Due to tightening budgets and additional foundational planning requirements, the amount approved was reduced to \$7.5 million. The OJD was required to halt progress on most projects until these foundational documents are completed – which are projected to be done in June 2009. Additional funding to continue work on eCourt requested in April 2009 as part of the Departments 2009-11 budget hearings. The funding request for the 2009-11 biennium is \$20 million in COPs plus necessary expenditure limitation.

Included in the funding strategy, OJD anticipates redirecting a small portion of existing General Fund base funding, separate from the COPs, as a contribution to Oregon eCourt. These funds are associated with salaries of OJD staff that have been allocated by the CIO work on specific initiatives. Once their tasks are completed, these resources need to go back to working on their current base operational tasks.

Included in the bill that provided funding for 2007-09 was a budget note requesting that the OJD assist the Criminal Justice Commission (CJC) as it develops a statewide data warehouse to facilitate information sharing among all public safety agencies. In response to this budget note, the CJC developed a Criminal Justice Information Systems (CJIS) Data Sharing Work Group. OJD participated regularly on this work group and worked closely with the CJC and other public safety agencies to develop recommendations for how to improve the exchange of information. As part of this effort, In November of 2008, OJD developed a report titled – Public Safety Data Sharing Work Group Report. The CJC presented these recommendations to the Public Safety Subcommittee of the Emergency Board in December 2008.

## **1.6 Management**

The Chief Justice plays an active role in the Oregon eCourt Program decision-making process and is responsible to the legislature and the public for its success. The day-to-day management of the Program is the responsibility of the CIO, who is personally accountable for the implementation of Oregon eCourt. The CIO has at his disposal a core decision-making implementation team that meets to provide advice and guidance. This small group is able to speak for its constituents and make timely recommendations in the best interest of OJD and its partners. A broader group of judges and Trial Court Administrators (TCAs) form the OJD Technology Transformation Advisory Committee. (OTTAC) They provide advice and oversight of the organizational transformation that must occur as the Oregon eCourt is implemented across OJD. The OJD Office of Education, Training, and Outreach (OETO) are responsible for coordinating and assisting with education, communication, and change management activities for OJD judges and employees.

## 1.7 Risk Management

Significant risk is inherent in all large-scale business transformation technology projects due to the scope and amount of organizational change required. OJD is aware of the complexity and potential risk associated with a program of the scale of Oregon eCourt. Therefore, OJD has selected a number of strategies to minimize the risks identified; they include:

- Using an approach with “off-ramps” for implementation.
- Contracting with proven system integration vendors to share management and risk.
- Establishing an Implementation Team of executive and judicial members to advise the Chief Justice and assist in decision making.
- Leveraging existing contracts and services from vendors with a proven record of accomplishment in working with Oregon government agencies.
- Using federal General Services Agreement (GSA) contracts for some of the products and services within the scope of the program.
- Adopting industry standards for project management, planning and reporting.
- Creating and executing an organizational readiness plan.
- Coordinating oversight from both the executive and legislative branch.
- Hiring an independent consultant or consulting firm to provide quality assurance oversight to the program.

Additional strategies to minimize risk and ensure proper decision making will be defined and implemented as the program continues from stage to stage and achieves its objectives.

## 2. Introduction

OJD has developed the Oregon eCourt Technology Strategic Plan (TSP) to address the complexities associated with the operations of the appellate and trial courts and OSCA, and statewide use and management of advanced technology. The plan recognizes the following:

- Changes are needed in court operations to meet new and evolving business environments that embrace technology and incorporate self-service as part of the court business model.
- Existing application systems that operate the courts and OJD are outdated and becoming increasingly unsupported.
- New technologies are available that enable changing business operations and improving the information for judicial decision making.
- Technology is dynamic and evolving and can significantly improve interactions with the public and businesses.
- Progress toward an electronic court is essential to maintaining an effective judicial system though priorities and goals may be refined and adjusted over time.
- The availability of funding may vary depending on the state economic situation.
- Large-scale business transformation and technology programs inherently involve risk and must be managed closely with incremental functionality delivery and decision points.

Therefore, implementation of this refined plan is intended to be fluid, however, it can be assumed that the technology will evolve over the course of time and the plan will change accordingly.

### 2.1 Background

In early 2004, Oregon's chief justice appointed a Special Task Force on Future Technology in the Oregon Courts. The task force was composed of appellate and trial court judges and Trial Court Administrators (TCAs), as well as members from Office of State Court Administrator (OSCA), and the Oregon State Bar (OSB). In addition, a group of judicial system partners were invited to help the task force identify, prioritize, and address the myriad complex issues surrounding the needs and the use of technology within the Oregon court system. The purpose of the task force was to provide the Chief Justice and SCA with an updated TSP and recommendations for the future direction of OJD technology systems.

Once convened, the task force recognized critical issues in the OJD technology environment in the areas of management, computing applications, and IT resources.

During 2004, OJD retained MTG Management Consultants, LLC, a nationally recognized firm specializing in judicial and public safety systems planning, to aid in developing, validating, and prioritizing a plan for addressing the needs mentioned above. A plan was developed based on a detailed assessment of business and technology needs and approved by the task force that directed OJD to move toward an electronic or paper-on-demand court system that provides for the active participation of stakeholders in many of the court business processes. The plan also recommended the replacement of the current core case management and financial systems and the creation of a new governance structure to oversee OJD technology.

Early in 2005, OJD established the 15-member Technology Committee (TC) composed of judges, TCAs, and executive staff from OSCA to lead the implementation of the IT Strategic Plan.

In 2006, the new chief justice, The Honorable Paul J. De Muniz, directed OJD to reassess the TSP timeline and move aggressively to implement the projects identified in the original plan. MTG was asked to provide OJD and the OJD TC an updated approach and path for implementation of the OJDTSP.

In late 2006, the TC approved an updated OJD TSP and formed initiative teams made up of court personnel to start planning the business changes and evaluating possible technology acquisitions or replacements.

In March of 2007, the State Court Administrator (SCA) hired a new CIO with the responsibility of managing both the OJD IT Division (ETSD) and the implementation of the OJD TSP.

In fall 2007, the SCA, the CIO, and the Deputy State Court Administrator (DSCA) for Business Administration developed and presented the plan and funding proposal for the Oregon eCourt Program to the Joint Legislative Interim Committee on Court Technology.

In February 2008 the proposal, business case and plan were approved, and \$24.4 million in Certificates of Participation sales for the first stage was approved by the legislature during its supplemental session.

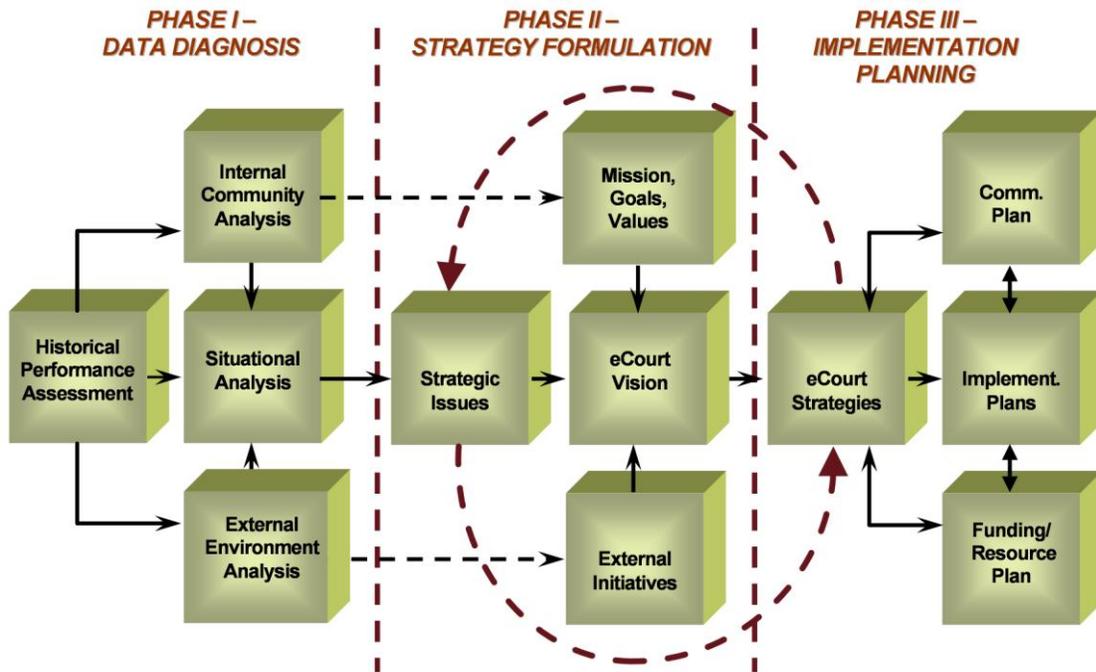
## **2.2 Purpose**

The purpose of the TSP is to provide a comprehensive planning framework for improving the overall business effectiveness and operations of OJD. The intent is to focus OJD on the organizational, operational, and technological changes which must be implemented to achieve the vision and direction for Oregon's state courts. This plan serves as a valuable tool for defining the road map that will shape the future of Oregon's state courts and for communicating to OJD judges and employees, business partners, the legislature, and the public.

## **2.3 Methodology**

A three-phased structured approach was used in the strategic and tactical planning process. This methodology includes: Phase I – Data Diagnosis, Phase II – Strategy Formulation, and Phase III – Implementation Planning. See Figure 1: Strategic and Tactical Planning Methodology.

**Figure 1 – Strategic and Tactical Planning Methodology**



*This approach focuses on critical decision making and results in a structured portfolio management approach for implementation.*

Phase I – Data Diagnosis. The present environment was evaluated in terms of past performance, current capabilities (strengths and weaknesses), and external influences (opportunities and threats). It included an analysis of other states and the vendor community currently supporting courts nationwide. This analysis yielded the strategic issues that must be addressed in the plan.

Phase II – Strategy Formulation. Identifies the overarching direction for the Oregon eCourt Program. This includes reviewing the long-term direction for the Oregon state courts, articulating the vision the agency will operate under in the future state, and defining the solution and technology and management strategies necessary for implementing the vision.

Phase III – Implementation Planning. Presents the program areas, initiatives, resources, budget, and milestones for the overall Oregon eCourt initiative. The strategies and initiatives needed to realize this vision serve as the basis for organizing tactical plans for OJD business and operational improvements.

### 3. Situational Analysis

To better understand OJD’s business and technology needs, stakeholders from Oregon’s justice environment and from the national justice community were engaged in a series of events designed to capture input of the overall planning process. The material below outlines Oregon’s business and technology needs and includes a synopsis of how peer states have addressed similar issues, and describes the resulting strategic issues that are addressed by this plan.

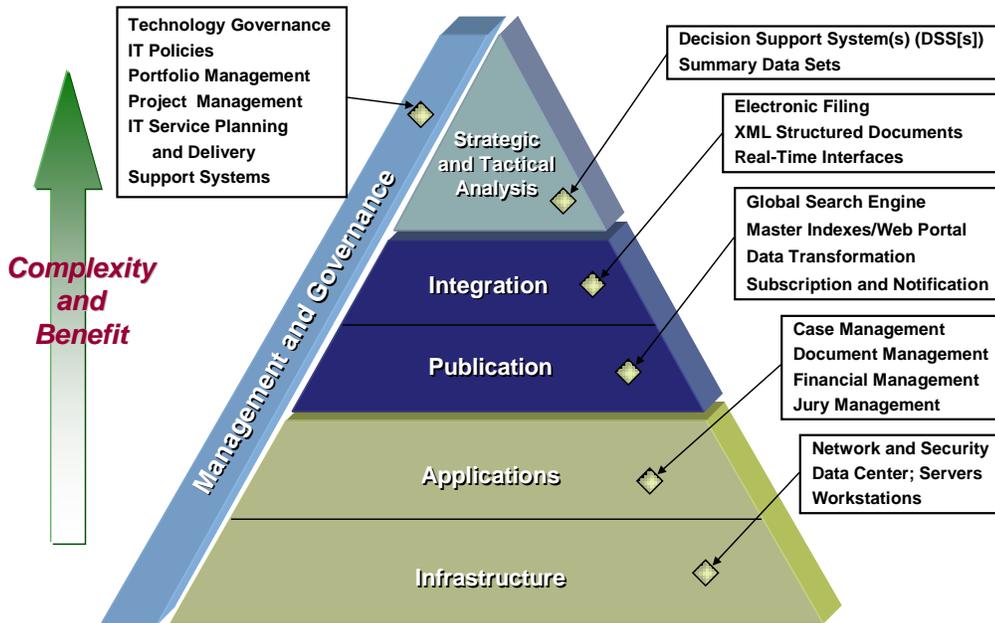
#### 3.1 OJD Needs Analysis<sup>1</sup>

OJD’s stakeholders were engaged at the onset of planning activities to capture and describe their unmet business and technology needs. Stakeholders then participated in a series of events to discuss and confirm their needs through the structured needs planning framework described below.

##### 3.1.1 Needs Planning Framework

Business and technology needs relative to the use and management of OJD’s current IT infrastructures were gathered from stakeholders using a structured framework that segments needs in a manner common to most governmental technology organizations. See Figure 2: Structured Framework

**Figure 2: Structured Framework**



<sup>1</sup> From the OJD *Information Technology Strategic Plan*, TSP, 2004.

More information regarding the structure and areas of examination for the business and technology needs can be found in the 2004 OJD Information Technology Strategic Plan.

**3.1.2 Captured Needs**

Over 280 business and technology needs were captured from stakeholders during a series of personal interviews and regional workshops. The following table shows the distribution of needs within the context of the planning framework:

Framework Layer	Captured Needs
Management and Governance	61
Strategic and Tactical Analysis	21
Integration	54
Publication	38
Applications	73
Infrastructure	33

**3.1.3 Commonly Identified Needs**

The following tables summarize the more common threads of identified business and technology needs gathered from stakeholders:

***MANAGEMENT AND GOVERNANCE***

Needs	Description
Project Management Office	Need for increased communications and accountability regarding IT changes and plans to meet business deliverables from a centralized source.
Technology Standards	Need for published standards for technologies that will interoperate at the enterprise level and for leveraging purchasing power.
Business-Based Initiatives	Need to ensure that technology plans and expenditures meet a defined outcome and support specific organizational goals.
Training and Documentation	Need for more robust applications training and systems documentation for end users.
Demarcation of Responsibility	Need to define the IT responsibilities of the central IT organization versus those of individual courts.

***STRATEGIC AND TACTICAL ANALYSIS***

Needs	Description
Uniform Court Management Statistics	Need for increased consistency in common court management and reporting across the enterprise.
Court Performance Measures	Need for information regarding the success of court operations in terms of tangible benefits to the public.
Decision Support Standards	Need to provide access to internal and external information in a manner that allows a more informed degree of judicial decision making.

***INTEGRATION***

Needs	Description
Electronic Commerce	Need the ability to accept electronic payments for common court fees and fines to reduce the manual processes involved, and increase collections capabilities.
eFiling	Need to reduce the highly manual efforts associated with processing court filings by implementing eFiling capabilities.
Partner Integration	Need to implement electronic information exchanges with state and local justice organizations to reduce the level of manual processing required and increase timeliness and accuracy of information.

***PUBLICATION***

Needs	Description
Operational Reporting and Data Inquiry	Need to provide the mechanisms necessary to allow the ability to extract information from enterprise data stores as needed.
Notification and Subscription	Need to provide the capability to electronically notify interested parties of significant court events to reduce the reliance on manual requests for common information.
Electronic Document Distribution	Need to provide the programs necessary to distribute commonly requested official court documents to reduce the manual effort required to respond to requests for common documents.
Public Information Access	Need to provide the capability to allow the public to access common court information electronically, especially as it applies to an individual's particular case, in order to reduce the manual efforts currently required to satisfy information requests.

**APPLICATIONS**

Needs	Description
Case Management Suites	Need to provide consistent capabilities to manage daily court caseload work while reducing the need to switch between various court case management applications.
Case Management Coding Standards	Need to implement common standards for data entry for purposes of consistent court operational reporting across the enterprise.
Consistent Person and Case Identification	Need to establish the mechanisms necessary to consistently identify individuals involved in court business. This will ensure that all individual court interactions are known and accessible.
Financial Management	Need to execute a number of changes to the current court Financial Management System (FMS) to promote ease of financial management, state accounting system integration, and implementation of electronic commerce.

**INFRASTRUCTURE**

Needs	Description
Content Management	Need for the ability to consistently manage electronic documents throughout the enterprise to increase access to common information and reduce the complexities of managing a traditionally paper-based environment.
Videoconferencing	Need to expand the videoconferencing infrastructure to allow for growth in use of the technology to reduce the logistical costs and complexities associated with person-to-person communications and related events.
Terrestrial and Wireless Networking Infrastructure	Needs for increases in networking bandwidth to accommodate a number of new functions, including videoconferencing, wireless access in the court, document management, and new court case management applications.
Office Automation	Needs for standardizing the office automation environment to better fit with the justice community as a whole.

**3.2 Environmental Scan**

Through this planning effort, OJD surveyed its national peer community of state judicial departments to understand how other states addressed similar business and technology needs. In addition, OJD contacted a number of vendors for information and held an information session for demonstrations and information. This subsection describes the areas of inquiry and some of the key results from the survey responses and the information session.<sup>2</sup>

<sup>2</sup> OJD Vendor Fair Report, MTG Management Consultants, LLC, February 15, 2007.

### 3.2.1 Areas of Inquiry

The 2004 peer survey focused on areas of inquiry originally defined in the scope of work outlined by the 2004 task force. These areas were:

- *IT Management and Governance* – Includes peer governance structures, membership composition, and operating protocols.
- *Technology Infrastructure* – Includes usage of eFiling, wireless infrastructures, and digital audio and video components.
- *CMSs* – Includes a review of national CMS vendors and their trial court and appellate court case management product offerings.
- *Court Data Publication and Integration* – Includes a review of current techniques for exchanging court information with partner organizations.

The section below outlines, at a high level, findings among the areas of inquiry outlined above.

### 3.2.2 Survey Results

Data points from the peer survey of 27 states and territories were considered during the overall planning process. Selected survey data points are provided below.

#### ***IT MANAGEMENT AND GOVERNANCE***

The peer survey yielded a number of trends suitable for consideration by OJD as a component of the strategic planning process. Trends identified in the survey included the following dimensions of IT management and governance:

- Use of committee structure.
- Subcommittee involvement.
- Committee origin and formality.
- Committee size and membership.
- Meeting frequency.

#### ***TECHNOLOGY INFRASTRUCTURE***

The 2004 peer survey of 27 states and territories revealed insights regarding the use of technology in other organizations. While slow progress has been made in other states since 2004, the survey was not repeated for this Plan update. A summary of the 2004 trends is provided below.

- *eFiling* – Of the 27 states and territories surveyed, only two (California and Texas) have demonstrated success with eFiling. The majority of surveyed agencies are also actively planning for this functionality.
- *Wireless Networking Infrastructure* – No judicial branch has recently rolled out, or is planning to roll out, wireless technology on a branch-wide level. Only 20 percent of the agencies interviewed had rolled out wireless technology on a limited basis.
- *Digital Audio Infrastructure* – Only two states provide digital audio technology on a comprehensive level. However, all judicial organizations identified the adoption of digital audio technology as a strategic initiative for the future.

- *Digital Video Infrastructure* – No state provides digital video technology on a comprehensive level. Only three states have major installations, and these address only remote conferencing and arraignment proceedings.

### ***CASE MANAGEMENT SYSTEMS***

The peer survey included components of vendor court CMS market offerings. Findings were segmented into both trial and appellate court CMS market offerings.

- *Trial Court Case Management* – Six vendors were identified as the leaders in the trial court CMS marketplace. Offerings ranged from new to mature products that all have the potential to meet OJD’s trial court case management needs.
- *Appellate Court Case Management* – While a number of trial court case management vendors are beginning to plan for the needs of the appellate court, only one vendor was found to have a system functionally mature enough to meet the unique needs of this market area.
- *Buy Versus Build* – Of the states surveyed, a slight majority (53 percent) plans to purchase its next court CMS rather than build one using internal judicial IT staff.

### ***COURT DATA PUBLICATION AND INTEGRATION***

The ability of courts to leverage technology for information sharing with other agencies and parties is a critical need. This portion of the survey addressed the integration options available to OJD as it sets its strategic IT direction.

- *Inquiry Access* – The court’s ability to access other agencies’ information, as well as the ability to allow others to access court information, is critically important to effective and efficient court operations. This can be done by leveraging the following common technologies:
  - » Enabling direct system access.
  - » Posting information to the Web.
  - » Implementing “portal” technology to publish court information.
  - » Enabling enterprise search of all content repositories

All four options represent viable alternatives for OJD to share court information with the public and its partners.

- *Information Exchange* – The second component of integration is information exchange. Information exchange is commonly defined as moving discrete sets of information from one system to another in order to:
  - » Improve public safety throughout Oregon.
  - » Improve data integrity throughout the justice process.
  - » Improve data currency throughout the justice process.
  - » Improve data reporting and analysis capabilities.
  - » Reduce data entry costs.

Through the implementation of a comprehensive integration solution for criminal justice information sharing among state and local agencies, many states across the country have realized these benefits.

**3.2.3 Vendor Information Session**

January 8 through 10, 2007, OJD, in conjunction with MTG, hosted a vendor fair at the Monarch Hotel & Conference Center in Clackamas, Oregon.<sup>3</sup> Three types of products were showcased at the vendor fair – CMS, ECM, and eFiling. The purpose of this fair was to provide statewide court users and administration with the opportunity to experience the functionality, processes, and look and feel of the applications. Those who may have been unfamiliar with the capabilities provided by such modern systems gained a better idea of what they may expect from a new OJD system. The vendor fair also served serve as a catalyst for garnering user momentum in moving this initiative forward.

The following nine vendors attended the fair:

Vendor Name	Session
<b>CMS</b>	
Affiliated Computer Services, Inc. (ACS)	January 8 and 9, 2007
Justice Systems, Inc.	January 8 and 9, 2007
MAXIMUS, Inc.	January 8 and 9, 2007
Tyler Technologies, Inc.	January 8 and 9, 2007
<b>ECM</b>	
EMC Corporation (EMC <sup>2</sup> )	January 10, 2007
Hyland Software, Inc.	January 10, 2007
<b>eFiling</b>	
LexisNexis	January 10, 2007
Tybera Development Group, Inc.	January 10, 2007
Wiznet, Inc.	January 10, 2007

**3.3 Business Context**

This plan is written and published at a turbulent time for the nation and the state. There are a number of potentially fundamental changes that are occurring at the time of the TSP update which could impact the scope and approach to implementation. Primarily, these include the political and economic issues described below.

**3.3.1 Political Environment**

In late 2008, the nation elected a new President. The new administration is initiating change in the federal administration and in policy development. This could affect the availability of federal funding for integrated

<sup>3</sup> OJD and MTG Management Consultants, LLC, *Vendor Fair Report*, February 15, 2007.

justice initiatives and would therefore affect the ability of OJD’s judicial business partners’ ability to actively participate in this plan.

**3.3.2 Economic Environment**

The national economy is currently struggling with unemployment, energy, and financial market issues. The Oregon economy is dependent upon national and state overall prosperity, and tax revenues are estimated to be significantly lower over the next 2 to 3 years, as the world is in the grips of a steep recession.<sup>4</sup>

**3.4 Situational Analysis**

A strengths, weaknesses, opportunities, and threats (SWOT) analysis summarizes the significant issues identified from the needs analysis, environmental scan, and business context. See Figure 3: SWOT Analysis: The upper area of the matrix presents the internal OJD environment factors. This internal examination plays an important role in understanding what OJD is currently doing well and what challenges the agency must address in moving forward with the Oregon eCourt Strategic Plan. The lower section outlines the environmental factors that are outside the control of OJD (e.g., economy, other state actions and initiatives, legislature) that may affect plans to improve Judicial Branch operations and technology. These factors were identified as opportunities that can be capitalized upon and threats that may inhibit OJD’s ability to be successful. This analysis represents the situation as of one year ago, in April, 2008.

**FIGURE 3 - SWOT ANALYSIS.** *The SWOT analysis reviewed the current organization and its environment. This work reflects the first stage of the planning efforts and assisted OJD with focusing on key issues.*

	<b>POSITIVE</b>	<b>NEGATIVE</b>
	<b>Strengths</b>	<b>Weaknesses</b>
<b>I N T E R N A L</b>	<ul style="list-style-type: none"> <li>● PMO Office and strong PMP certified PMs</li> <li>● Strong executive commitment.</li> <li>● Significant change management.</li> <li>● Active involvement of court personnel from across the state.</li> <li>● Support from OSB.</li> <li>● New eFiling statute.</li> <li>● Stable business programs.</li> <li>● Funding for the first stage of implementation.</li> <li>● Oregon Judicial Information Network (OJIN) online services.</li> </ul>	<ul style="list-style-type: none"> <li>● Limited management capacity as there is a growing number of retirement-eligible personnel within court system.</li> <li>● Limited electronic communication with customers.</li> <li>● Largely operation-centric programs.</li> <li>● Some consensus for process reengineering standards/approach.</li> <li>● Inadequate quality management metrics and performance measures.</li> <li>● Unclear ownership of business processes.</li> <li>● Overly dependent on key staff within program areas.</li> <li>● Poor management of expectations.</li> <li>● Systems and supporting technologies with limited support (OJIN, Financial Integrated Accounting System [FIAS]).</li> <li>● Very limited ability to provide data for managing programs.</li> </ul>

<sup>4</sup> Oregon Office of Economic Analysis, *Quarterly Economic and Revenue Forecast*, February 20, 2009.

	<ul style="list-style-type: none"> <li>● Limited ability to interface with partners.</li> <li>● No way to adapt current systems to accommodate changing demands of the business.</li> <li>● Not a culture accustomed to embracing change.</li> </ul>
<b>Opportunities</b>	<b>Threats</b>
<p><b>E</b></p> <p><b>X</b></p> <p><b>T</b></p> <p><b>E</b></p> <p><b>R</b></p> <p><b>N</b></p> <p><b>A</b></p> <p><b>L</b></p> <ul style="list-style-type: none"> <li>● Upgrades to Oregon State Police and Department of Corrections systems.</li> <li>● OSB, public, and other customers increasingly more technical.</li> <li>● Migration toward a self-service society.</li> <li>● Increasing customer expectations and demands for new services.</li> </ul>	<ul style="list-style-type: none"> <li>● National economy and dropping state revenues.</li> <li>● Slow response from civil service system for hiring personnel for the program.</li> <li>● Impact of presidential election as well as state elected officials such as governor can hinder priorities.</li> <li>● Changes in state legislature personnel.</li> </ul>

### 3.5 Strategic Issues

A number of high-level strategic issues have been identified through the analysis of business and technology needs, along with corresponding input from OSCA, the OJD OTTAC and the peer state survey. The manner in which these strategic issues are addressed largely determines the overall outcome of the plan implementation over 2008–2017. These strategic issues are:

- What is the most efficient means of providing services to customers? Is the State Bar and the public going to adapt to the new electronic services?
- How will the OJD maximize the recently available funding for the first stage while committing to the complete vision?
- Can and should some similar business functions across the trial and appellate courts be integrated into a centralized or single-services environment?
- Can the agency leverage partnerships with other government entities to provide the technology required to integrate state and local agencies?
- How aggressive should the agency be in implementing this TSP and moving to a new business environment?

The approach to addressing these strategic issues shapes the manner in which Oregon’s state courts will operate and use technologies in the future.

## 4. Oregon eCourt Vision

The basis for the TSP is OJD's vision of the desired future environment for court service delivery, operations, technology, and management. This vision is based on the operating mission and vision defined by the Judicial Branch. The vision for an electronic court with online services and supporting technology support the overall operating vision as defined below.

### 4.1 Judicial Branch Operating Vision

In 1992, the Chief Justice of the Oregon Supreme Court and OJD launched a vision project with a conference to consider the future of Oregon's courts. As a result of that conference, the Chief Justice formed the Future of the Courts Committee.

The committee worked several years to create the 1995 written vision for the Oregon state courts in the year 2020, titled "Justice 2020: The New Oregon Trail." For 6 years, that vision statement informed and guided state court administrative, planning, budgeting, and legislative activities. In 1998, the Future of the Courts Committee began work to renew, refresh, and update the vision.

The Future of the Courts Committee developed a new vision statement with values, five goals, and suggested strategies. In 2001, the Chief Justice approved the new statement, "Justice 2020: A Vision for Oregon's Courts." This set of values, goals, and strategies provide the framework for the business vision that has guided the design of Oregon eCourt. Oregon state courts provide justice and uphold the rule of law. Their values are:

- Fairness, equality, and integrity.
- Openness and timeliness.
- Independence, impartiality, and consistency.
- Excellence, innovation, and accountability.
- Respect, dignity, public service, and community well-being.

The strategic goals set out in the Oregon Judicial Department 2009-2013 Strategic Plan align closely with the vision and values that the Oregon Judicial Department has been developing since 1992. Those core principles were set out seven years ago in *Justice 2020: A Vision for Oregon's Courts* (2001). The current five-year plan — for 2009 through 2013 — adopts a number of action items that the judiciary will use to focus that vision and implement those values. As our overarching departmental mission statement and statement of values demonstrate, the Oregon court system has a strong and continued commitment to providing justice and serving Oregonians. The Oregon eCourt Program embraces the five goals established in OJD's Justice 2020 operating vision. These five goals are:

**Goal 1: Protect Public Access To Justice** Oregon's courts are committed to providing equal access, ensuring fairness, and enforcing the rule of law. Everyone has a right to accessible justice. Our courts provide all people with the help and information that they need to resolve their disputes quickly and fairly, and at a reasonable cost. We help to secure legal representation for those who need it and to assist those who represent themselves. Oregon courts strive to be safe, easy to use, free from barriers, and culturally responsive. County courthouses will continue to stand as symbols of assurance that justice will remain available to everyone throughout the state. Our courts will use state-of-the-art technology to ensure that the services that we provide meet people's diverse needs.

*Goal 2: Maintain Public Trust And Confidence* Preserving and enforcing the rule of law is one of the cornerstones of our democracy. Oregon's courts strive to be impartial, fair, and accountable. As an equal branch of government, we work closely with the executive and legislative branches to ensure justice for all, to preserve the traditional judicial function, and to secure adequate resources to fulfill our responsibilities. The Oregon court system supports judicial operations in every county by providing coordinated services related to technology, court improvement, and education.

*Goal 3: Provide Quality And Timely Dispute Resolution* At a fundamental level, courts work to resolve conflicts fairly, timely, appropriately, and cost-effectively. We must continually develop innovative procedures to meet those often disparate demands. Effective case flow management makes justice possible not only in individual cases but also across the entire justice system. Effective court management helps to ensure that everyone receives due process and equal access to justice. Oregon courts will continue to work to provide access to the dispute resolution methods most suited to the parties' needs, whether it be mediation, a timely jury trial, or some other process. Judicial administration organized around the requirements of effective case flow, dispute resolution techniques, and trial management enhances justice.

*Goal 4: Collaborate With Justice System Partners And Other Stakeholders* The judicial branch alone cannot solve difficult societal problems. Oregon courts work actively with their public and private partners and volunteers to strengthen the work of the courts and to improve safety in our communities. Together, we promote public safety and quality of life, improve the lives of children and families, help provide a stable and predictable environment with consistent enforcement of economic and property rights, and protect the most vulnerable members of our communities. Toward those ends, many judicial districts have adopted various specialty court models (such as family courts, domestic violence courts, restitution courts, and community courts) that allow us to meet local community needs. In those and other areas, judges are committed to applying best practices to enhance outcomes for all those we serve.

*Goal 5: Enhance Judicial Administration* Oregon courts must use the resources of Oregonians wisely. We are accountable to the law, to the other branches of government, and to the public. The effective administration of justice requires deliberate attention to and improvement of the core processes of our court system.

The Justice 2020 Committee developed an extensive set of recommended strategies for each goal. The Oregon eCourt Program plays a significant role in supporting the goals and strategies sought after by the Justice 2020 Committee.

## **4.2 Oregon eCourt Vision**

The Oregon Court system has trial courts in every county of the state, along with the Oregon Supreme Court and Court of Appeals (COA), Tax Court and Office of the State Court Administrator (OSCA) located in Salem. The court system is a member of the larger state criminal justice community and exchanges information with other community members such as local and state law enforcement, district attorneys, corrections, the Department of Transportation's Driver and Motor Vehicle Services Division, Department of Justice, Department of Human Services and other public and private organizations that participate in the judicial process.

Upon review of stakeholder needs and recognition of the limitations of the current OJIN CMS infrastructure, the task force agreed upon a strategy to replace OJIN. The strategy focuses on enhancing

the manner in which the OJD should migrate its current, manually intensive business model to one that more closely reflects the needs of court stakeholders. The vision, model components, and design recommendations discussed below support this strategy.

OJD's plan defines a vision for a fully electronic court, termed "Oregon eCourt." Oregon eCourt will be a new statewide electronic, or virtual, courthouse providing a common experience for all court parties regardless of process or location. The courthouse will be located on the internet, and will provide many of the existing court services using an assisted self-service model, much like travel and retail Web sites do today.

The public will access the new Oregon eCourt using standard computer and Web browsing technology. The Web portal that supports Oregon eCourt will provide a variety of services to the general public, attorneys, and the business community, as well as to other state and local court stakeholders. These services will include direct access to information based on appropriate security and access policy, and a number of new interactive services, such as educational materials.

These new interactive services will include components for making online payments, including paying fines for traffic tickets or other violations, filing a small claims case or other types of cases, or making restitution payments. A self-service legal center will assist parties conducting business with any Oregon trial court in the state.

These services will allow for retrieval and viewing of information from the different courts, programs, services, educational resources, and more. A comprehensive collection of legal materials and a repository for publications will provide an extensive law library for legal research and education, available over the internet.

Oregon eCourt applications and services will be leveraged to improve the efficiency and effectiveness of OSCA as well as the courts. ECM workflow in particular can introduce significant efficiencies into request and approval pathways, while the FMS will improve the quality, timeliness and accessibility of accounts receivables, forecasting, and operational information.

### **4.3 Oregon eCourt Objectives**

In order to quickly adapt to and meet changing business needs, the Oregon eCourt Strategic Plan must accomplish the following goals:

- Improve access to justice by:
  - » Providing the ability to send documents to and obtain information from the courts from anywhere at any time.
  - » Facilitating a common experience, whether accessing the courts from the Web or in the physical courthouse.
- Increase operational efficiency through:
  - » Common business practices and forms.
  - » Interfaces with partners to reduce workload and improve data quality.
  - » Improved ability to collect what is owed to victims and the state.
  - » Reduced need for manual paper handling and manual payment processes

- » Search all content repositories at once
- Mitigate the need for increased space in courthouses by way of:
  - » Digital files replacing paper files.
  - » Increased workloads partially offset by increased efficiencies.
- Provide data to manage court and OSCA programs, including:
  - » Information organized on the person rather than the case.
  - » Management and outcome data to provide decision support capabilities.
  - » Budget forecasting and financial trend analysis

These objectives drive an actionable program framework that will meet the needs of the citizens of the state of Oregon and the goals of the Chief Justice.

#### **4.4 How Oregon eCourt Supports the Judiciary's Objectives**

The Oregon eCourt program is the centerpiece for enabling the Oregon Judiciary to achieve its mission and goals. Oregon eCourt will transform how our court system serves the people of this state. It is our primary statewide undertaking for the next several years, the largest technology program that we have ever taken in support of our judges and courts, and has received both support and funding from the Oregon Legislative Assembly. Oregon eCourt is the forefront of the state court system's strategic plan. The scope of this major initiative supports and enables every one of the five goals that we have set for ourselves.

Oregon eCourt will implement technology to shift the present paper-based system to a digital universe of information and services. That technology will transform how private businesses, public agencies, and individuals obtain information and services from our courts. It will transform how judges, court staff, and consumers of judicial services work. From the limits of a paper document available at a single courthouse during an eight hour business day, Oregon eCourt will provide an open forum available 24 hours a day, every day of the year, for documents, court information, and case-related filing and payment services.

Oregon eCourt will produce those results by constructing a standard technology infrastructure in our courthouses to give judges and staff the information management resources that they need to provide just, prompt, and safe resolution of disputes; improve public safety; enhance the quality of life in our communities; and make a difference in the lives of children and families in crisis. For example, eCourt will provide the following:

- A single Web portal for access to any court, at any time, from anywhere, for eFiling, obtaining information about court programs and services, and making payments;
- Web-based services such as multilingual guides, fill-in-the-blank court forms, and self-help centers;
- Web access to court documents, calendars, case records, exhibits, and other digital content;
- Video court appearances from any place with an internet connection, a camera, and bandwidth;
- Video conferencing for trainings and meetings;
- Wireless Web access in every courthouse;
- Standardized business processes across the state.

These features will combine to enhance the public's trust and confidence in the Oregon court system by enriching judicial administration, improving both the quality and timeliness of dispute resolution, expanding access to justice, and permitting more efficient collaboration with our justice system partners and other stakeholders — all in the service of responsible stewardship of public resources and excellence in the achievement of our public missions. At the same time, Oregon eCourt will not replace in-person services at a physical courthouse. Those traditional services will remain available, just as they are today, and hearings and trials will continue to convene in courthouses across the state and be open to the public. In short, Oregon eCourt is the most comprehensive electronic court effort undertaken in a state court system in the United States. Its successful implementation lies at the core of our vision for Oregon's courts.

#### **4.5 Context for Oregon eCourt Vision**

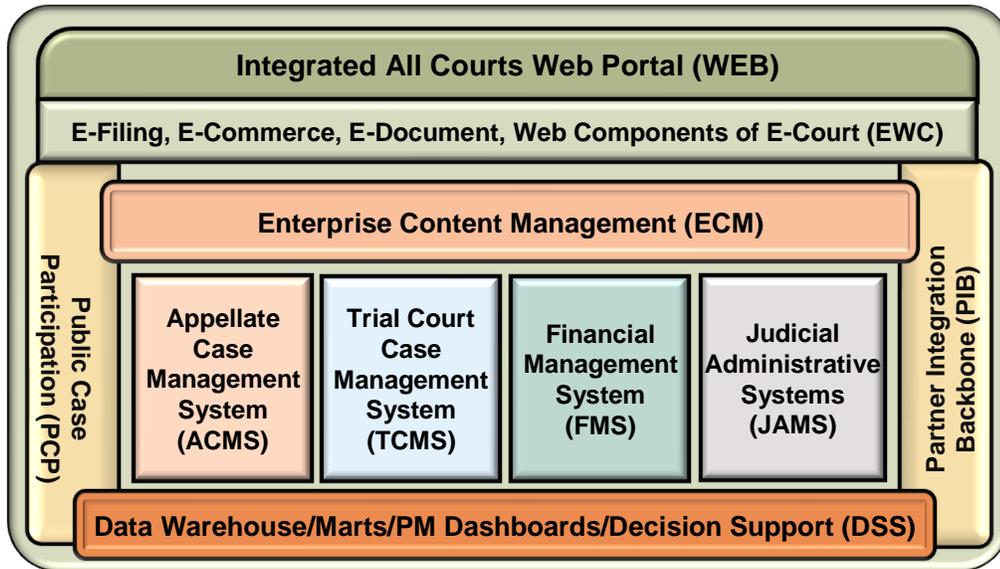
The Oregon eCourt Program design and plan are unique to Oregon. While other states are pursuing electronic payments, eFiling, and paper on demand, they are typically focused on mechanizing the back-office operations of the court. The distinctive characteristics that make the design of the Oregon eCourt Program the best solution for OJD and the citizens of Oregon are:

- *Leadership* – Oregon has strong advocacy from the Chief Justice and the OTTAC. The OTTAC has members from the Oregon Supreme Court, Court of Appeals, Tax Court, OSB, OSCA, and nine Oregon trial courts.
- *Organization* – Oregon has a unified and mature court structure that has been in place for over 20 years. The governance of the trial court model is consistent across all of the courts.
- *Technology* – Oregon has a single CMS (OJIN) that has been used statewide since 1985. There is limited implementation of modern electronic technologies, so a comprehensive new solution requires minimal rebuilding of the old.
- *Business Partners* – Oregon has developed a strong relationship with the partners required to design, develop, and successfully implement the Oregon eCourt Program.

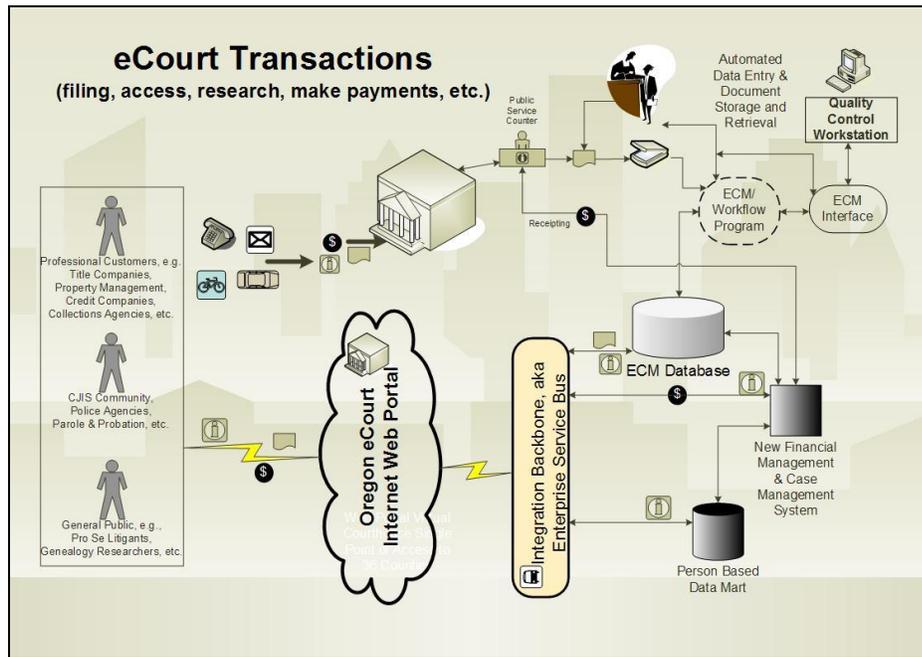
These characteristics enable OJD to look at technology solutions that support the citizens, improve the ability to meet the core mission, and provide long-term technology that will evolve over time.

#### **4.6 Technical Vision**

The primary basis of the TSP is the acquisition and integration of 10 key system technologies or components supplied by the vendor community and managed by OJD. These are identified in the conceptual diagram below and described in subsequent paragraphs.



How the different components of the Oregon eCourt model function together to provide an actual electronic court is shown in the model below.



The model shows that the Oregon eCourt solution is an integrated system that will appear seamless to court personnel, business stakeholders, and the public. The model is organized into four primary service delivery areas that are integrated into an overall solution.

- Integrated Web services:
  - » Integrate all Courts/Office of the State Court Administrator (OSCA) Web Portal, both internet and intranet.
  - » eFiling, e-commerce, e-document, and Web components of Oregon eCourt.
  - » Enterprise search of all content repositories
- Content and data management:
  - » Enterprise Content Management.
  - » Data warehouse/marts/performance management, dashboards/Decision Support System (DSS).
- Case management applications:
  - » Appellate Case Management System (ACMS).
  - » Trial Court Case Management System (CMS).
  - » Financial Management System.
  - » OSCA eCourt (judicial administrative management systems).
- Integration:
  - » Partner Integration Backbone (PIB).
  - » Public Case Participation (PCP).

#### **4.6.1 Integrated Web Services**

OJD will implement a sophisticated central internet Web portal for the trial and appellate courts and OSCA. This Web portal will allow court stakeholders, case participants, and the public to conduct a significant portion of their court business online, without requiring them to travel to a courthouse. The Web site will provide both a Web portal for information access and a set of structured services for conducting business, such as filing cases electronically, making payments, and inquiring about court locations and schedules.

##### ***WEB PORTAL***

The new OJD Web portal will have a common architecture and service delivery model, while allowing for unique presentation and personalization by each of the trial and appellate courts. The Web portal will support a customized view by account holders (lawyer, pro se filer, researcher) in order to streamline business interaction and participation.

The internet Web portal is a key part of the TSP and will drive the definition of standards across the courts for certain business practices and forms. It will move a significant workload from OJD to case participants and business stakeholders. It will provide a common and consistent electronic access point to all Oregon trial courts and court activities.

##### ***EFILING/ELECTRONIC SERVICE DELIVERY***

The service delivery components of the Web portal allow for business to be conducted over the internet. These components include filing, document access, data access, online payment, scheduling, communications, and improved court case and opinion publication.

The eFiling solution will allow OSB, district attorneys, and pro se litigants to electronically file and interact on court cases. Attorneys and parties will follow an interactive step-by-step process for filling out forms and other materials.

The Web payment service will allow for the online payment of court fines, fees, and restitution. The document and data access services will replace the current OJIN online tools and provide for more immediate access to actual case information based on appropriate access limitations.

#### ***ENTERPRISE SEARCH***

A person-based model for information retrieval relies on the ability to search all information repositories and bring all of the relevant information back to the user. The portal framework includes an enterprise Web search function, but it does not search all repositories, such as ECM, FTR, and eventually CMS and FMS. The Web portal will acquire a search tool that will include all information repositories within OJD, and potentially, other judicial partners.

#### **4.6.2 Content and Data Management**

Implementation of the new ECM and content management services are central to the operation of an Oregon eCourt environment. These tools and resources will manage all of the information submitted, maintained, and created by the court in its daily operations.

#### ***ECM – ENTERPRISE CONTENT MANAGEMENT***

The TSP and the Oregon eCourt vision are directed toward an ECM-centric approach for replacing the current case management system (OJIN). ECM technologies, tools, and methods capture, manage, store, preserve, and deliver content across an organization in support of business processes. ECM allows for the development of new business processes and work flows within the trial and appellate court and OSCA environment, using the technology to manage the Branch's judicial and administrative activities at a level of efficiency that is not possible in a paper-based environment. ECM will maintain data, audio recordings, videos, digital exhibits, digital court reporting, and Web site materials.

The ECM-first strategy will enable OJD to deliver the right information to the right people at the right place at the right time, swiftly and efficiently. The court resources associated with filing, organizing, and retrieving paper in case files can be redirected to other vital tasks.

ECM is the mechanism for putting court information and content on the Web, a critical component of the Chief Justice's vision for improving service delivery by OJD to its customers and stakeholders.

#### ***DSS/DATA WAREHOUSE/MARTS/PM DASHBOARDS***

The data management functions are for the collection, transformation, analysis, access, and reporting of information kept in operational systems supporting the court, as well as select information available from public and private stakeholders and providers. The various solutions incorporate the needs of judges, TCAs, court managers, and OSCA into a single strategy for analyzing information useful for judicial and management decisions.

The technology and systems provided by the vendor community for ECM, ACMS, TCMS, and FMS will meet both the management and operational needs of the department. The data management strategy supports and integrates these systems into decision-making tools for judges, administrative trial courts, and court management.

The data management solution will provide the courts and OSCA with performance measure tracking, dashboard and management reporting, decision support, and sentencing support. It will also provide a variety of analytical management tools to access, manipulate, and report on the information collected and maintained in the operational systems.

#### **4.6.3 Case Management Systems**

The acquisition and implementation of the new case management applications, a new FMS, and integration with other administrative systems support the ECM-centric approach to court document management. These systems will be licensed vendor products, supported by the vendors over the life of the products, and integrated into the overall Oregon eCourt solution by OJD using internal staff and a system integration vendor.

##### ***ACMS – APPELLATE CASE MANAGEMENT SYSTEM***

OJD purchased and installed a new ACMS using LT Court Tech's C-Track product. This project provided a new CMS for the Oregon Court of Appeals and the Oregon Supreme Court. It also provides access to case information via the Web for the public and for OJD staff outside the appellate area.

This browser-based system helps meet the challenges posed by diminishing fiscal and human resources and the pressures from ever-increasing filings, reporting requirements, rule changes, and homeland security concerns. Features include dynamic docket entries and data-driven document generation, a highly customizable rules engine, attorney integration with the OSB, Web calendaring, supplemental reporting, a public access Web site, fee tracking, motion processing, and opinion processing.

##### ***TCMS – TRIAL COURT CASE MANAGEMENT SYSTEM***

TCMS will be a vendor-supplied system to replace the existing OJIN system in all of the trial courts across the state. This will be a person-based in addition to a case-based system, and will support all of the various case types such as criminal, traffic, civil, small claims, probate, juvenile, and family.

The system will be based on Web browser and advanced relational database technology. It will manage the data collected and maintained in support of the primary ECM system. It will exchange information with the ECM and FMS and will allow for active participation by OJD personnel, case parties, and other court stakeholders.

##### ***OSCA eCOURT - JUDICIAL ADMINISTRATIVE MANAGEMENT SYSTEMS***

OJD uses various administrative systems and tools for management reporting, statistical analysis, performance measure tracking, and general office management. As part of the TSP, OJD will use the Web, ECM, CMS, FMS and DSS tools to improve the capture and maintenance of administrative information in the same manner as the court case information. This will allow OSCA and the courts to move to an efficient paperless office environment consistent with the rest of the technology implementation.

#### **4.6.4 FMS – Financial Management System**

FMS is a replacement system for the current FIAS that supports court financial management and is integrated into the state's accounting system. Some of the features include cashiering, funds distribution, and accounts receivable, accounts payable and general ledger. The system will be integrated with the Web portal components for accepting online financial transactions, and integrated into the CMS for receipt tracking.

The FMS will also provide accounting, billing and analytical support to BFSD, and act as the core financial system for operating the courts and OSCA.

#### **4.6.5 Integration**

Key to the success of the Oregon eCourt environment is the ability to electronically communicate and exchange information with case participants and judicial business stakeholders. Providing electronic facilities and services for parties to actively participate in a court case allows for efficient data capture and provides the new but critical services the court's customers expect in today's online world. Developing a structured set of information services and making them available to business stakeholders will increase overall court efficiency and improve judicial decision making by ensuring the most current information is available when needed.

##### ***PCP – PUBLIC CASE PARTICIPATION***

The online world is changing how the public obtains services and conducts business. A critical Oregon eCourt concept is the active inclusion of case participants or stakeholders in the court business processes through internet-based service delivery and access mechanisms. These tools will augment the in-person services supported in the courthouses and will increase overall efficiency.

This solution component includes the creation of a registration and communication system whereby the public and businesses can maintain information on who they are and how to communicate with them. This includes online registration management, e-mail communications, and case or information subscription and notification. This will greatly expand the service options for the court's customers and will include new assisted self-service capabilities for those needing help.

##### ***PIB – PARTNER INTEGRATION BACKBONE***

Judicial decisions on matters brought before the court rely heavily on information submitted from other court business stakeholders. The initiation and processing of many court cases relies on interaction with the stakeholders involved. This includes local agencies such as sheriff's offices, district attorney offices, and community corrections, as well as state agencies such as the Department of Human Services, Department of Fish and Wildlife, Department of Corrections, and Oregon State Police.

An "integration backbone" or enterprise service bus approach will provide stakeholders with the information services they need and will be able to isolate connection changes and updates from the core OJD systems. Enterprise service buses, integration suites, and application platform suites can serve as a "backbone" middleware infrastructure for application integration and service-oriented architecture applications. This allows OJD to develop a finite number of information services products that stakeholders can access for their information exchange needs.

The partner integration backbone will be built upon national standards that describe both the content and the context of the information transmitted. OJD data will be accessible via secure Web service calls over the internet from business partner applications, given the appropriate authentication, authorization, and security.

#### **4.7 State and Local Partners**

The Oregon eCourt Program has been designed to increase the ability to share and integrate information with OJD's state and local partners. In the current technology environment, most information is shared

between agencies on paper, even though OJD supports 50 data exchange interfaces with other agencies. The OJD TSP supports a platform for information sharing with state and local agencies throughout the state of Oregon. These state and local partners are described below.

Partner Type	Partner	Purpose
Primary	Department of Corrections	Court decisions.
	Law Enforcement (State Police, sheriff, local police, marshal)	Court decisions.
	District Attorney	Case-related documents.
	Social Services	Case-related documents and court decisions.
Secondary	Health Services	Case-related documents and court decisions.
	Medical Services	Case-related documents and court decisions.
	Mental Health	Case-related documents and court decisions.
	Driver and Motor Vehicle Services Division	Court decisions.
	Child Support	Case-related documents and court decisions.
	Department of Revenue	Court decisions.
	Alternative Dispute Resolution	Case-related documents and court decisions.
	OSB	Case-related documents and court decisions.
Tertiary	Probation Department	Court decisions.
	Treatment	Case-related documents and court decisions.
	Education	Case-related documents.
	Employment	Case-related documents.
	Counseling	Court decisions.
	Miscellaneous Private Agencies	Case-related documents.

Many agencies will be able to electronically access a more detailed level of information based on their security credentials as justice partners.

## 5. Oregon eCourt Strategies

The foundation for any strategic plan is the guiding principles and the implementation strategies. The strategies establish the agreed-upon approach to meeting the overall goals and objectives of the plan. Provided below are the implementation strategies for the OJD Strategic Plan, organized into solution, technology, and management and risk categories.

### 5.1 Guiding Principles

OJD has developed the Oregon eCourt Strategic Plan using a number of fundamental concepts or principles that were used to make strategy choices or decisions. These include:

- Leverage other state initiatives and technologies.
- Maximize use of current resources.
- Minimize risk and deliver functionality in discrete stages.
- Establish statewide partnerships with other organizations to both share technology and integrate services.
- Focus on customer service delivery and decision making.
- Define stakeholder-inclusive automated business processes.
- Develop key Web “spaces” (internet, intranet).
- Maximize use of commercial off-the-shelf products, tools, and implementation and support services from the technology vendors.
- Integrate products to build the best integrated solution.
- Maximize the most efficient CMS through focusing on documents, collaboration, and paperless work flows provided by complementary tool suites.
- Pilot Oregon eCourt concepts through applications and tools to build operating procedures.
- Develop management and technical proficiency for this environment over time, leveraging vendor expertise during the development project and transferring operational knowledge to OJD staff.
- Build the new court applications around industry-leading products that provide managed, secure, and controlled access to court documents and content.
- Develop future court applications with several layers, including ECM as the center, business applications in the middle, and a robust Web portal on the outer layer, providing secure access paths to appropriate court information.
- Place the person (including parties such as corporations and organizations) as the primary information entity – as opposed to the specific case.

### 5.2 Solution Strategies

Integral to the TSP is the business approach selected for implementation. This sets the necessary order or approach for executing the significant business transformation that is required as part of the migration toward a fully electronic court.

Central to Oregon eCourt's implementation is using Electronic Content Management (ECM) tools and modules as the foundation of the technology architecture. Since the court has a high reliance on paper documents, the core modules need to be document- and content management-focused. Other implemented software will use the core ECM modules and interfaces rather than creating redundant modules and interfaces. This ECM-first approach encourages standardized access to content using industry-leading software products.

The general strategies for implementing the eCourt solution are as follows:

#### **5.2.1 Accessible/Virtual Courthouse**

- Define the virtual courthouse based on the active inclusion of stakeholders in the court business processes. Focus all business processes as if they originated via the Web Portal and include interacting with all participants electronically.
- Build internal court systems around the external business processes. Core back-office processes in the courthouse will mirror the external processes as much as possible and use the same user interface Web pages.
- Standardize business processes and requirements flow from electronic court implementation.

#### **5.2.2 Business Process Management**

- Develop customer relationship management capabilities as part of the system in order to manage communications and process interactions.
- Electronically integrate participants and stakeholders into court work flow and business processes through the Web portal and customer relationship management capabilities.
- Develop assisted self-service processes as the foundation of the system. Base business processes on the self-service model and support customers who need assistance via kiosks.
- Migrate some of the current court staff business processes to newly defined processes that include the active participation of external customers.
- Achieve economies of scale by centralizing some of the administrative trial court business functions and processes.

#### **5.2.3 Change Management**

- Organizational change management will be a central focus of the system implementation and, as such, will be sufficiently planned and funded.
- OJD will develop, maintain, and execute a detailed communication plan to assist in change management.
- OJD will develop, maintain, fund, and execute a detailed training and education program as a critical component of Oregon eCourt implementation.

### **5.3 Technology Strategies**

Solution strategies are supported by a number of technology strategies. These supporting strategies outline the general approach to providing the technology components being developed or enhanced to support the fully electronic court. The technology strategies for implementing a solution are discussed below.

### **5.3.1 Internet Web Portal Evolves Into Accessible/Virtual Courthouse**

- Establish the internet Web portal as the foundation for the fully electronic court with both internal and external views. Position the portal as a virtual working courthouse and not as a communication vehicle.
- Develop a general framework design that is extendable for future functionality.
- Develop the functionality through discrete stages of development that coincide with the delivery of other key components of the plan, such as the ECM or CMS system.
- Provide enterprise search to enable agency-wide person-based information retrieval.

### **5.3.2 ECM Is the Basis for the CMS**

- Invert the current vendor paradigm about using ECM as a back-end solution for a CMS. Focus on the front-end business process definitions and work flows for electronically captured information based on using ECM.
- Integrate the eFiling solution into the ECM system design since ECM is the container for electronically filed case information.
- Procure the CMS solution based on the requirements and selection of an ECM product suite and require the CMS vendor to integrate products.

### **5.3.3 Educate Management and Staff Prior to Procurement of Any System**

- Conduct seminars for each selected sample vendor of the CMS, ECM, and eFiling solutions prior to solicitation and acquisition.
- Provide each of the trial courts and the appellate courts with the opportunity to have personnel participate in the seminars and be introduced to selected product functionality for their business function or area.

### **5.3.4 Enhance Infrastructure Over Time to Support the Future Operating Model**

- Enhance the current wide area network over time to meet the needs of the statewide electronic court.
- Establish a second, geographically distinct data center to handle failover from the main data center for business continuity and disaster recovery capability.
- Develop a model courthouse and a set of standards to which courts can update their current facilities to in order to be compatible with the new statewide electronic court environment.

## **5.4 Management and Risk Strategies**

In addition to the solution and technology strategies, an approach for managing the overall program and risk are necessary. These strategies are critical to the successful implementation of the plan and the timeliness of execution. The management and risk strategies for implementing a solution are as follows:

### **5.4.1 Management**

- Develop a simple and structured approach to managing and communicating the technical importance and value of a forward-thinking Strategic Plan.

- Adopt industry standard project management methods (PMBOK) and for running all of the projects within the plan.
- Define the scope of work into small projects (6 to 9 months) for easy management and delivery.

#### **5.4.2 ETSD Resources and Legacy Systems**

- Redirect some ETSD resources away from legacy system activities in order to start working on future solutions. This includes development, procurement, infrastructure, and management activities.
- Educate ETSD staff on the TSP and the strategies being selected for implementation.

#### **5.4.3 ETSD Project Resources and Oregon eCourt Systems**

- Staff hired for planning and deployment of Oregon eCourt will become part of base budget operations to provide the necessary ongoing operations and support.

#### **5.4.4 Contracting Approach**

- Select OJD as the general contractor for the acquisition, integration, and implementation of plan components. Hire integrator with court experience to assist with this task.
- Develop and use existing or new master contracts as the method by which external resources are acquired to perform many of the plan activities. Task orders against master contracts provide efficient and timely access to resources.
- Use federal GSA contracts and existing state contracts for technology components and services where appropriate.
- Determine whether OJD can provide the necessary talent and experience to manage the overall program and plan. Acquire external program management if necessary.

#### **5.4.5 Organizational Capability and Capacity**

- Procure the necessary skills/talent to augment internal resources both within ETSD and OSCA via contracting vehicles.
- Evaluate the potential for centralizing some technical support and/or regionalized use of certain resources.
- Outsource some skills and/or responsibilities on an as-needed basis instead of training internal staff for a specific technology or function.

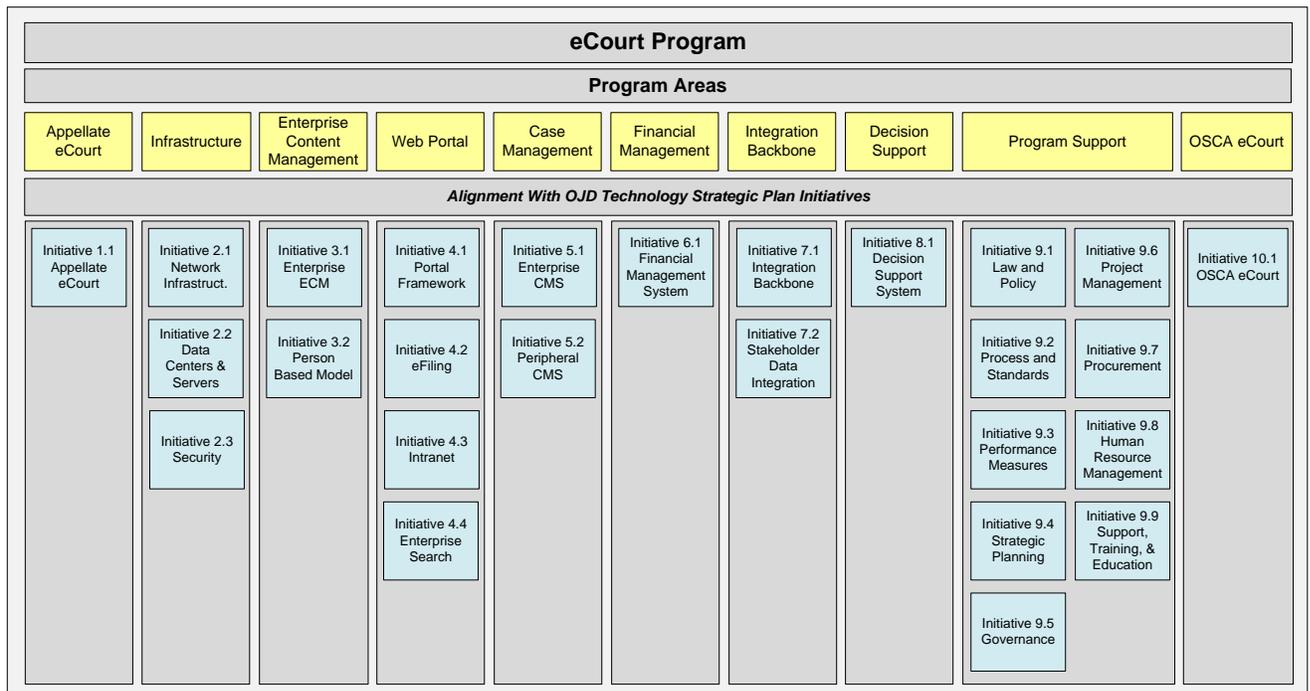
The above implementation strategies form the basis for a successful overall plan. Discussion of, decision making regarding, and understanding of these strategies, are important to how the program is communicated and executed.

## 6. Implementation Plan

The strategic decisions outlined previously establish the basis for organizational, business process, and technology changes. This section presents the specific initiatives, schedule, budget, and management structure employed to realize the migration toward an electronic court.

### 6.1 Program Scope and Structure

The Oregon eCourt Program is organized into ten program areas, each consisting of multiple initiatives and each initiative consisting of multiple tactical projects or work by standing committees. The modular structure of the Oregon eCourt Program enables changes to individual components or projects without changes or impacts to the whole Program. This gives OJD flexibility to respond to and incorporate future business needs, technology changes, and mandate requirements from the legislature. The relationship of the program areas to the TSP initiatives and tactical projects is displayed in the figure below and summarized in the subsections that follow.



#### 6.1.1 Appellate eCourt Program Area

The Oregon Appellate eCourt Project builds upon OJD’s replacement of the Appellate Courts’ 20-year-old mainframe case management system, which was originally developed for and continues to service the needs of Oregon’s trial courts. OJD replaced the mainframe system in December 2006 with an Appellate Case Management System (ACMS) for the Oregon Court of Appeals, Appellate Records Section, and the Appellate Settlement Conference Program. The team has implemented a highly configured case management system, designed to meet the unique workflows of the Supreme Court and Court of Appeals. Finally, Oregon eCourt functionalities (for both courts) provides electronic filing (eFiling), a

document and content management system (ECM), a financial management system (FMS) to relieve the Appellate Courts' reliance on OJD's aging FIAS system, and a single point of access through the Oregon eCourt Web portal.

*Initiative 1.1 Appellate eCourt.* The Appellate eCourt initiative will provide the following functionality to both the Supreme Court and the Court of Appeals:

- eFiling (electronic filing)
- eCommerce (electronic payments)
- Web Portal (single point of access)
- ECM (electronic content and document management system)
- ACMS (Appellate case management system)
- FMS (financial management system)
- Public access to Appellate documents

### **6.1.2 Infrastructure Program Area**

An enhanced data center and network infrastructure within OJD will provide managed wide-area network transport between all of OJD's remote offices that ensures high availability and reliable network connectivity, and can grow to support new business initiatives. It will also provide a network management tool that gives the network administration staff the ability to manage the LAN/WAN Oregon eCourt requirements and its multiple Oregon eCourt connections.

OJD is developing capacity management plans and researching the best options for hosting two data centers. Each data center will have redundant components, including servers, storage, power supplies and switches. Two internally redundant data centers provide a high degree of disaster recovery ability and improve business continuity capability. Each data center will provide a three-tier environment to support separate development, testing and production partitions in a virtual machine environment.

A configuration manager has been hired to provide oversight of the development and maintenance processes needed to ensure a high availability operation. A comprehensive security plan and governance model will cover physical, system and information security. An identity and access management tool will be acquired to ensure the privacy of confidential data and provide the ability to audit access history at the user, function and data level. The projects in this program area will ultimately result in a fully modernized and robust infrastructure and will focus on the following areas:

- Increased bandwidth capacity.
- Standardized technologies in the courts.
- Redundancy in storage, application, and network environments.
- Co-location in a shared statewide data center for the judicial branch.
- Establishment of a second data center for disaster recovery and business continuity.
- Implementation of an enterprise security plan.

The Infrastructure program area will facilitate the movement of data that a centralized computing environment will require, as well as ensure maximum system availability. The Infrastructure program area is the foundation upon which additional technical capabilities are to be built.

*Initiative 2.1 Network Infrastructure.* This initiative is complete. It involved restructuring the network from a hub and spoke arrangement to a high capacity dual ring structure, building in redundancy – if the ring is broken, traffic is routed around the ring in the other direction, ensuring connectivity. The capacity of the network was increased approximately ten-fold, ensuring the necessary capacity for moving electronic content will be in place. In addition, the contract with the network service provider allows for increasing capacity on short notice, which also mitigates network congestion risks.

*Initiative 2.2 Data Center and Servers.* This initiative includes an overall architecture plan, implementation of a three-tier, redundant server environment, movement to a virtual server environment, and analysis, design and deployment of a second data center for disaster recovery and business continuity.

*Initiative 2.3 Security.* This initiative involves creation of a security management plan to address technology security, information security and physical security in the courts and OSCA. The plan will define a number of work plans to cover security policies, vulnerability assessments, training, and other security related projects. Security also includes the procurement and deployment of an identity and access management system to control access to confidential OJD information.

### **6.1.3 ECM Program Area**

ECM will allow concurrent processing of documents, support document retrieval from any location, and standardize document management processes. ECM will allow migration towards “paper on demand.” ECM will facilitate the conversion of millions of court documents into managed electronic content and will enable the OJD to provide improved service to its internal and external customers through the availability and exchange of electronic content and through the use of data captured by the content system during business processes. The ECM project will establish a standards-based environment with consistent information management processes statewide. ECM will start the collection of new elements that will propagate the person-based model. This initiative will implement the capabilities described below.

- Electronic management of court and case materials at the appellate and trial court levels in a central repository.
- Receive, convert, manage, and maintain enterprise content to facilitate judicial and administrative analysis.
- Online review and printing of court and case materials by attorneys, justice partners, and the general public.
- Eliminate retention of paper documents within the trial courts in Oregon; paper documents will be available on demand, but paper will no longer be the primary record medium in the trial courts, appellate courts, or administrative offices.
- Integrate ECM functionality within OSCA to eliminate paper, automate workflow, improve department-wide analytics, and organize the vast amount of forms and documents used within the Office.

*Initiative 3.1 Enterprise Content Management.* This initiative completes ECM for all case types in all courts, including Appellate. It also includes implementation of ECM capabilities in OSCA to support administrative business processes.

*Initiative 3.2 Person Based Model.* This initiative includes the analysis and prototyping needed to create a person-based model to provide a comprehensive view of case participants. This information is then available to judge to improve judicial decision making.

#### **6.1.4 Web Portal Program Area**

An "Internet Courthouse" with a Web-based "front door" will support on-line payments, fillable forms, and electronic filing, 24 hours a day. OJD is committed to augmenting current services by adding Web-based services for all customers it serves. The first step is the creation of a Web portal to establish a uniform "look and feel" to all appellate, trial court, and administrative Web content.

The Web portal will eventually allow court stakeholders, case participants, and the public to conduct a significant portion of their court business online, without requiring them to travel to a courthouse. The portal will provide both information access and a set of structured services for conducting business, such as access to eFiling and inquiring about court locations and schedules. The portal will provide internal users with Web-based information and tools tailored to users and tasks. Projects in this program area will accomplish the following:

- Create new Web pages with improved navigation, workflow and ADA compliance for all courts and OSCA.
- Connect Lotus Notes databases to Web "portlets" on the portal.
- Train a broad group of court staff in the maintenance and development of their Web pages.
- Establish specific Web page development standards and templates.
- Establish the environment for Web payments, eFiling, electronic calendar scheduling, and electronic access to court documents.
- Provide eFiling for attorneys and pro se filers to fill out necessary forms, initiate court cases and appeals, and file subsequent documents.
- Launch the Web portal as the "front door" to OJD's Oregon eCourt. This front door will enable Oregon's citizens and OJD's justice partners to access the courthouse electronically from anywhere, anytime

*Initiative 4.1 Portal Framework.* This initiative cover creation of the Web portal framework, which includes "portlets" to govern registration, control access to Oregon eCourt applications, provide single sign-on for OJD staff, and general public utilities such as court calendars, court information, and online payments. It also includes conversion of all court and OSCA Web pages, including the intranet, to a common look and navigation with ADA compliance.

*Initiative 4.2 eFiling.* This initiative provides eFiling integrated into the portal. Key to providing universal access to the courts is allowing the public and court partners to electronically file case documents and make related payments. This eFiling capability builds on both ECM and the Web Portal.

*Initiative 4.3 Intranet.* The intranet initiative is focused on providing Web-based utilities for OJD staff, both in the courts and OSCA. Many OJD job function requirements can be abstracted into portlets, allowing the creation of composite applications that integrate multiple functions from different systems into single Web pages. The intranet will also support dynamic data displays, providing windows into court performance and other data from the DSS data mart. This initiative also includes creation of "extranets" for OJD business partners.

*Initiative 4.4 Enterprise Search* Key to maximizing the benefit of a person-based model for information retrieval is the ability to search all information repositories and bring all of the relevant information back to the user. Initiative 4.1 includes an enterprise Web search function, but it does not search all repositories, such as ECM, FTR, and eventually CMS and FMS. The enterprise search initiative will develop requirements, select a vendor, and implement a search tool that will include all information repositories within OJD, and potentially, other judicial partners.

### 6.1.5 CMS Program Area

A modern CMS, replacing the current Oregon Judicial Information Network (OJIN) system, will use a person-based model in conjunction with a case-based one. The CMS project will integrate closely with the ECM and Web Portal projects to implement a suite of tools and products to fully realize a person-based, paper-on-demand court environment. The CMS will exchange information with the ECM system and the Financial System (see below) and will allow for active participation by case parties and other court stakeholders. The CMS project will facilitate changes in current OJD business practices brought about by information being accessed and received through the Web Portal, eFiling, and the ECM system. The CMS program area will implement the following capabilities:

- Replacement of the OJIN, OJIN Online, Juvenile OJIN Integrated Network, (JOIN), and FIAS tools for managing case records
- Scheduling and management of court calendars.
- Management reporting.
- Person-based and case-based records.
- Foundation for a comprehensive data warehouse and decision support environment.

The CMS program area will develop changes in current OJD business practices brought about by information being accessed and received through the Web Portal and the ECM system. This program area will establish a standards-based environment with consistent data entry protocols statewide.

Based on vendor product capabilities, the OJD may decide to partner with a vendor to create or purchase some CMS functionality, including specialty courts, alternative dispute resolution, pretrial services, jury management, and collections.

It will be important for OJD to maintain its current environment during the transition to a new technology environment. While ongoing enhancements or changes will be minimal, ETSD staff will be required to maintain OJIN.

*Initiative 5.1 Case Management Systems.* Complete the requirements, vendor acquisition, configuration, data conversion, and pilot implementation of the core case management system. The final effort in this initiative is to implement the merging of the CMS and FMS systems into a cohesive application for managing all aspects of court cases.

*Initiative 5.2 Peripheral Case Management Systems.* This initiative includes creation of a plan for integrating peripheral case management systems into the daily operation of the new Oregon eCourt. Following the planning effort, the initiative covers requirements, acquisition and implementation of a drug court system and a jury management system.

### 6.1.6 FMS Program Area

The FMS program area will integrate closely with the ECM, CMS and Web Portal program areas. The FMS serves a dual role, providing financial management for court cases, including case fees, fines, and restitution as a replacement for FIAS, as well as a comprehensive cashing and accounts receivables management tool for BFSB.

***Initiative 6.1 Financial Management System.*** A modern financial management system, replacing the current Financial Integrated Accounting System (FIAS), will support court financial management and will interface with the state's accounting system. Some of the features include cashiering, tracking of the financial components of judgments, and accounts receivable management. This system will interface into the state's accounting system (SMFS), which will distribute funds, manages payables and be the general ledger for the court financials. The system will be integrated with the Web portal for accepting online financial transactions and integrated into the CMS for tracking.

### **6.1.7 Integration Backbone Program Area**

The goal of the Integration Backbone program area is to establish a single point of communication and information exchange between OJD and its business partners. The integration backbone will also be used to streamline the movement of data between OJD internal components and systems. The integration backbone will enable OJD to minimize the amount of custom interface development required to connect to and exchange data with partner systems. This system will allow for the development of a single interface to the integration backbone, rather than of unique interfaces for each partner system.

It will be a key component of Decision Support (see below), providing connections to justice agency partners in a uniform and repeatable manner. Using the common system interfaces provided by the integration backbone, court stakeholders will have the ability to send and receive information, allowing real-time access to information by the following court partners.

- Public safety-related justice agencies such as the Department of Corrections, Criminal Justice Commission, and Oregon State Police (LEDS).
- Civil and human services agencies such as the Division of Motor Vehicles (DMV), Department of Human Services, and Department of Justice, Child Support.
- Local government agencies such as Sheriffs, District Attorneys, and county juvenile departments.

***Initiative 7.1 Integration Backbone.*** This initiative covers the requirements, design, acquisition and implementation of a set of tools that compose the integration backbone. It also includes training for OJD staff, and several pilot applications to test the OJD side of the backbone.

***Initiative 7.2 Stakeholder Data Integration.*** Each stakeholder data integration effort essentially is a mini-project, requiring requirements, system testing, pilots, and user acceptance testing.

### **6.1.8 Decision Support Program Area**

Decision support will provide the courts with performance measure tracking, dashboard and management reporting, and informational and analytical support for administrative and judicial decisions, including dispositions in criminal, juvenile and family law cases. It will also provide a variety of analytical management tools to access, manipulate, and report on the information collected and maintained in operational systems. Improved access to performance measures and other internal and external data and tools will support better judicial and operational decision making. Many of these information services will be made available to staff and judges through the Web portal.

Decision support provides transformation, analysis, access, and reporting of information maintained in operational systems supporting the court, as well as select information available from public and private stakeholders and providers. The various solutions incorporate the needs of judges, TCAs, court managers, and OSCA into a single strategy for analyzing information useful for judicial and management decisions. Decision support is also where the person-based model will be enhanced.

*Initiative 8.1 Decision Support System.* The DSS initiative covers the design and implementation of the analytical tools required to meet DSS requirements. It also includes the development of the decision datamart and integration with the Web portal.

### **6.1.9 Support Program Area**

The Oregon eCourt Program's projects require broad-based organizational and process support throughout OJD. Program Support is not a single, specific line of effort, but rather will provide the organizational and process framework within which the OJD's future vision will be developed.

*Initiative 9.1 Law and Policy.* Analysis of existing Oregon Revised Statutes and OJD policies to identify law and policy changes necessary to support a paper on demand, electronic court environment.

*Initiative 9.2 Process and Standards.* Documentation of current business work flows across all courts. The OJD Law and Policy Committee is charged with defining and supporting standard business processes. This process baseline will be used with the CMS and ECM vendors to clearly understand the capability gaps between current operations and the best practices that these tools support. In addition, the OJD Enterprise Technology Architecture Committee (ETAC) will assess and recommend opportunities to standardize courthouse infrastructure and business processes.

*Initiative 9.3 Performance Measurement.* Identification and measurement of Oregon eCourt performance.

*Initiative 9.4 Strategic Planning.* Ongoing update of the Strategic Technology Plan to reflect the new business drivers and objectives. Creation of a comprehensive communication plan and funding plan.

*Initiative 9.5 Governance.* Management and governance for the overall Oregon eCourt program.

*Initiative 9.6 Project Management.* The control mechanisms necessary to ensure the successful performance and communication of OJD's defined business strategies over the term of the Oregon eCourt Program. This includes an engaged CIO and program director, an effective project management office, and comprehensive change management. External quality assurance is required to provide independent and unbiased assessment of the program results.

*Initiative 9.7 Procurement.* Creation of requirements, evaluation of proposals, and approval of vendor contracts to achieve the program timeline. The Procurement support activity establishes an overall strategy for the procurement of the vendor products and provides a framework for vendor evaluation, selection, legal review, and contracting.

*Initiative 9.8 Human Resource Management.* Assessment and reclassification of personnel positions as a result of technology impacts on daily work assignments.

*Initiative 9.9 Support, Training, and Education.* IT customer support model and implementation, including a 24/7 support model, at both the enterprise and local court levels. The Office of Education, Training, and Outreach will oversee technical, business, and application training and education throughout OJD.

### **6.1.10 OSCA eCourt Program Area**

All of the functionality being provided for courts through the eCourt Program has application to OSCA functions as well. Previous Strategic Plans have referred to the application of Oregon eCourt services to

OSCA as JAMS, or Judicial Administrative Management Systems. In fact these are typical Oregon eCourt applications with workflows and databases customized for administrative applications.

Initiative 10.1 OSCA eCourt. This initiative is aimed at providing OSCA access to the complete Oregon eCourt toolset, primarily ECM. ECM has considerable application in automating workflows and improving efficiency within the paper intensive Office. In addition, BFSD needs access to FMS and CMS applications to fulfill their fiscal, reporting and oversight role, both for courts and OSCA. This part of the effort will include integration of FMS with the state financial systems SFMS and R\*STARS.

## 6.2 Program Schedule

The schedule for the Oregon eCourt Program provides a complete set of functionality within a given time period that is not dependent on additional legislative funding to be useful. The design of each project will include completion of specific deliverables and functionality and initiate tasks critical for the following projects. Each time period is described in the subsections below.

### 6.2.1 February 2008 through October 2009

Stage Description
Complete the Web portal framework; continue process reengineering and the installation of the initial ECM core components for the trial courts.
Stage Outcomes
<p><b>Web Courthouse</b></p> <ul style="list-style-type: none"> <li>● Implement new OJD portal that provides a user-customizable front door to OJD services.</li> <li>● Create common look-and-feel Web sites for all courts and OSCA.</li> <li>● Institute portal registration processes</li> </ul> <p><b>Central Systems</b></p> <ul style="list-style-type: none"> <li>● Complete the Appellate Oregon eCourt.</li> <li>● Design new business processes for the ECM solution.</li> <li>● Begin ECM pilots in Yamhill County and Multnomah County</li> </ul>

### 6.2.2 November 2009 through June 2011

Stage Description
Complete ECM and eFiling implementations for all courts; complete intranet transition
Stage Outcomes
<p><b>Web Courthouse</b></p> <ul style="list-style-type: none"> <li>● Complete eFiling and additional Web portal services, including online payments.</li> <li>● Complete transition of intranet to new look and feel</li> </ul> <p><b>Central Systems</b></p> <ul style="list-style-type: none"> <li>● Complete roll-out of all ECM case types statewide</li> <li>● Begin analysis and requirements documents for CMS and FMS</li> </ul>

- Begin analysis and requirements documents for the integration backbone

**6.2.3 July 2011 through June 2013**

Stage Description
Begin OSCA eCourt activities. Implement intranet and ECM improvements and updates.
Stage Outcomes
<p><b>Web Courthouse</b></p> <ul style="list-style-type: none"> <li>● Complete pro se eFiling statewide</li> <li>● Build interfaces to CMS and FMS</li> <li>● Implement enterprise search</li> </ul> <p><b>Central System</b></p> <ul style="list-style-type: none"> <li>● Update ECM workflows</li> <li>● Complete CMS and FMS through pilot stage</li> <li>● Complete redundant data center for disaster recovery</li> </ul>

**6.2.4 July 2013 through June 2015**

Stage Description
Complete rollout of Oregon eCourt to all of the judicial districts across OJD.
Stage Outcomes
<p><b>Web Courthouse</b></p> <ul style="list-style-type: none"> <li>● Extend the Web portal custom solutions to individual courts</li> </ul> <p><b>Central System</b></p> <ul style="list-style-type: none"> <li>● Complete rollout of integrated CMS and FMS system and integrate with ECM and portal.</li> <li>● Complete OSCA eCourt</li> <li>● Begin Integration Backbone configuration.</li> <li>● Complete design of Decision Support System</li> </ul>

**6.2.5 July 2015 Through June 2017**

Stage Description
Complete rollout of Oregon eCourt solutions to business partners.
Stage Outcomes
<p><b>Web Courthouse</b></p> <ul style="list-style-type: none"> <li>● Extend the Web portal capabilities to external business partners (extranets).</li> </ul> <p><b>Central System</b></p> <ul style="list-style-type: none"> <li>● Complete stakeholder integration efforts</li> <li>● Complete Decision Support System</li> <li>● Complete architecture/data center projects</li> <li>● Complete Integration Backbone with justice partners</li> </ul>

A detailed implementation schedule is managed by the Project Management Office in cooperation with the selected vendors. Appendix C contains a more detailed MS Project schedule of each program area and associated initiatives.

The statewide rollout may be accelerated or slowed based on funding availability and the success of business process change implementation within the courts.

### 6.3 Program Budget

The Oregon eCourt Program budget estimate in the table below presents overall costs of the Oregon eCourt Program in terms of development, implementation, and operating costs. The budget is organized by the ten program areas and the initiatives defined in this report, and include a \$10 million contingency. The budget is premised on a number of contingencies that are already built into the cost estimates and is purposely conservative.

Program Area	Budget (\$ (in millions)	Scope
Appellate eCourt	\$ 3.0	Supreme Court and Court of Appeals eCourt
Infrastructure	4.1	Data centers, disaster recovery.
ECM	16.1	Content mgt., workflows, paper-on-demand court
Web Portal	10.1	Internet courthouse, eFiling, Intranet, enterprise search
CMS	15.0	OJIN, JOIN replacement, drug court, jury management
FMS	11.9	FIAS replacement; central financial system
Integration Backbone	5.7	System integration, stakeholder data interfaces.
Decision Support	6.3	Management and sentencing support.
Support Program	53.7	Policies, management, PMO, performance, HR, training and education
OSCA eCourt	2.9	eCourt tools applied within OSCA
<b>Total Development and Implementation Costs</b>	<b>128.8</b>	(Total may not add correctly due to rounding error)

Appendix D contains a more detailed breakdown of costs by program area and associated initiatives.

## 6.4 Program Funding

OJD's strategy for funding the early stages of Oregon eCourt was to request debt financing from the 2007 Legislature. As a result of that process, OJD received \$2 million from the general fund to complete planning work.

The 2007 Legislature created the Joint Legislative Interim Committee on Court Technology with the passage of HB 2331. The Interim Committee was tasked with evaluation of the OJD technology transition plan and making recommendations to the Legislative Assembly regarding the OJD strategic plan, deliverables, costs of the plan, funding of the plan, and oversight of OJD's technology initiatives.

In the fall of 2007 the Department developed and presented the funding proposal for the Oregon eCourt program to the Interim Committee. In December 2007, the Interim Committee recommended funding the first two stages of Oregon eCourt with Certificates of Participation (COPs).

During the February 2008 Supplemental Session, the Legislature approved \$24.4 million of COPs and authorized OJD to spend \$2 million of Other Funds working capital to complete the first two stages of Oregon eCourt. The initial \$8 million of COPs were sold in summer 2008 with the remainder to be sold in spring 2009. Due to budget constraints and additional foundational element development requirements, only \$7.5 million in COPs was sold in the Spring of 2009. The Department is requesting an additional \$20 million in COPs for the 2009-11 biennium from the 2009 Legislature.

Included in the funding strategy, OJD anticipates redirecting a small portion of existing General Fund base funding, separate from the COPs, as a contribution to Oregon eCourt. These funds are associated with salaries of OJD staff that work on specific initiatives. Once their tasks are completed, these resources are needed back to work on their current base operational tasks.

Included in the bill that funded the first two stages of Oregon eCourt was a budget note requesting that the OJD assist the Criminal Justice Commission (CJC) as it develops a statewide data warehouse to facilitate information sharing among all public safety agencies. In response to this budget note, the CJC developed a Criminal Justice Information Systems (CJIS) Data Sharing Work Group. OJD participated regularly on this work group and worked closely with the CJC and other public safety agencies to develop recommendations for how to improve the exchange of information. As part of this effort, In November of 2008, OJD developed a report titled – Public Safety Data Sharing Work Group Report. The CJC presented these recommendations to the Public Safety Subcommittee of the Emergency Board in December 2008.

## 6.5 Program Benefits

The Oregon eCourt Business Case identified, reviewed, and approved the program key benefits to the OJD along with an explanation of the approach used to identify the benefits. A benefit can be tangible (measurable) or intangible (provides value, but is not directly measurable). Descriptions, detailed calculations, and proposed future measures were provided for both tangible and intangible benefits.

The Value Measuring Methodology was employed to determine the overall benefits of the Oregon eCourt Program.<sup>5</sup> The Value Measuring Methodology is a tool developed by the federal government to assess the relative value and viability of different IT efforts. Since government entities are not motivated solely by economic factors, the Value Measuring Methodology provides an evaluation model that includes classic

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<sup>5</sup> Federal CIO Council, *Value Measuring Methodology Guide*, 2002.

components such as operational efficiency and cost-effectiveness, but also considers other, less tangible components of the technology effort.

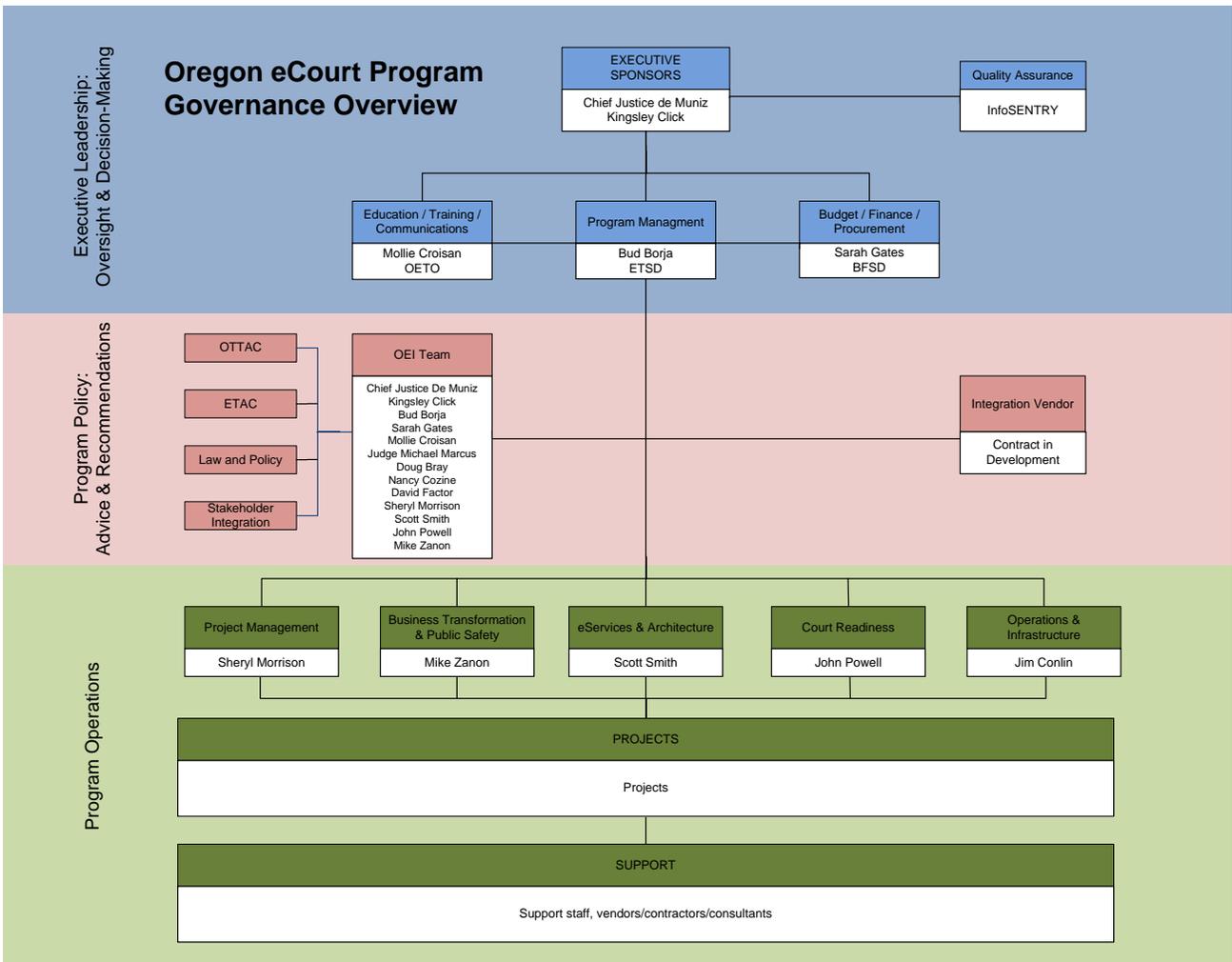
A detailed examination of benefits and costs is contained in the 2009 update to the Business Case for the Oregon eCourt Program.

### 6.6 Program Governance

The governance of the Oregon eCourt Program has not and will not be a static endeavor. While the goals of governance are fixed, the structure and methods may change to accommodate changes in policy, funding, timelines, and expectations. As key positions are added to the program effort, the governance structure and documentation will be updated to clarify specific roles and responsibilities.

For this project, there are three distinct tiers within the governance structure to achieve the outcomes described above (see diagram on following page):

- Executive Leadership: Oversight and Decision-Making
- Program Policy: Advice and Recommendations
- Program Operations



### **6.6.1 Executive Leadership: Oversight And Decision-Making**

#### **Executive Sponsors**

Chief Justice Paul De Muniz and State Court Administrator Kingsley Click serve as the Oregon eCourt Program Executive Sponsors. In this role, they champion the Oregon eCourt Program to internal and external stakeholders, provide the necessary executive oversight to ensure program success, work with policymakers to obtain the necessary resources, and serve as the final authority for all Oregon eCourt Program decisions. They meet once a week with the Bud Borja (Chief Information Officer and Oregon eCourt Program Manager), Sarah Gates (Deputy State Court Administrator – Business), and Mollie Croisan (Director – Office of Education, Training, and Outreach) to monitor the progress of the various initiatives and make policy decisions related to strategies and/or resourcing.

#### **Program Management**

Bud Borja, Chief Information Officer (CIO), was appointed by the Chief Justice to serve as the overall Oregon eCourt Program Manager. In this role, Mr. Borja has the responsibility to oversee all aspects of the Oregon eCourt Program through planning, development, and implementation. He serves as the Chair of the Oregon eCourt Implementation Team, with whom he meets weekly to review and discuss Oregon eCourt activities and determine which issues need to be forwarded to the Executive Sponsors for input and/or decision.

#### **Budget/Finance/Procurement**

Sarah Gates, Deputy State Court Administrator for Business works closely with the Executive Sponsors and the Program Manager to provide project financial support, monitor and report on the use of the Certificates of Participation and other revenue sources for project funding, and oversee coordination of legal, procurement and related activities to ensure project success. Ms. Gates also serves as a member of the Oregon eCourt Implementation Team.

#### **Education/Training/Communications**

Under the management of Mollie Croisan, Director, the Office of Education, Training, and Outreach (OETO) leads the development and manages the implementation of Oregon eCourt education, training, and communication activities. OETO works closely with the OEI Team and the other Oregon eCourt Program teams to identify and prioritize the necessary training and communication efforts. OETO also works closely with partner associations to coordinate Oregon eCourt presentations and updates at association meetings.

#### **Quality Assurance**

The Quality Assurance (QA) vendor, InfoSENTRY Services, Inc., provides independent oversight of the planning and implementation of the Oregon eCourt Program. The QA vendor reviews the project purpose, project documentation, project governance, plans, estimates, resources, methodologies, change processes, deliverables and risks during the life of the projects and all the supporting activities of the Oregon eCourt Program. They also review project risks and mitigation plans developed by the Oregon Judicial Department and document and quantify major program risks. The QA vendor provides written and oral reports to the Oregon eCourt Executive Sponsors.

### **6.6.2 Program Policy: Advice And Recommendations**

Policy committees meet on a regularly scheduled basis or at the call of the Chair. Meeting agendas and materials will be distributed within 24 hours of the meeting time. Materials not delivered with 24 hours notice, will be moved to the next meeting. The Chair is responsible for ensuring the meeting agendas and materials are posted on the OJD intranet in a timely manner. Meeting minutes will be taken, distributed to committee members, and posted on the intranet.

#### **The Oregon eCourt Implementation (OEI) Team**

The OEI Team serves as the Oregon eCourt Program Steering Committee. Appointed by the Chief Justice, OEI Team members possess a broad range of judicial, operational, and/or technical expertise and provide critical advice and guidance to the Program Manager. The team meets weekly and is chaired by the Program Manager. The OEI Team serves as a hub through which all project issues and questions pass. As needed, the OEI Team will assign the issues/questions to the appropriate initiative, transformation, or stakeholder team(s) and then evaluate the feedback and make a recommendation to the Program Manager.

#### **Oregon Judicial Department Technology Transformation Advisory Committee (OTTAC)**

OTTAC, chaired by Judge Daniel Murphy, Linn County, serves as the Oregon eCourt Program technology transformation advisory committee. OTTAC provides advice to the OEI Team and support related to court readiness and organizational transformation needed as part of the Oregon eCourt implementation. OTTAC members are appointed by the Chief Justice and meet on a quarterly basis.

#### **Enterprise Technology Architecture Committee (ETAC)**

ETAC, co-chaired by Ed Jones, Trial Court Administrator for Coos/Curry counties, and Jim Conlin, Deputy Chief Information Officer for the Oregon Judicial Department, researches and recommends appropriate technical solutions and standards to meet Oregon eCourt Program business goals and objectives. The committee is made up of a broad range of Oregon Judicial Department business and technical staff. This group meets regularly to address specific assignments from the OEI Team. All research and recommendations are provided to the OEI Team for consideration.

#### **Law and Policy Committee**

The Law and Policy committee, chaired by Alex Aikman, Deputy State Court Administrator for Programs, is focused on addressing specific legal and policy issues related to the successful implementation of the Oregon eCourt Program. The committee has subject matter experts from throughout the Oregon Judicial Department. The Chair calls meetings on a regular basis to accomplish the work assigned by the OEI Team. Work products and issues/questions are provided to the OEI Team for consideration.

#### **Stakeholder Integration**

The Oregon eCourt External Stakeholders include a broad range of court users and executive, legislative, and local branch entities that will be impacted by, or can take advantage of, the Oregon eCourt Program. Nancy Cozine, Criminal Law Staff Counsel in CPSD, and Mike Zanon, Oregon eCourt Business Transformation and Public Safety Manager, lead and coordinate the various

external stakeholder groups. Some stakeholders are members of existing advisory committees, and will be asked to provide input about relevant Oregon eCourt business interests and the impact of proposed Oregon eCourt systems through those committees. The Oregon Judicial Department also will work with stakeholders through the standing committees of external entities, and will form new committees, subcommittees, or hold individual meetings as needed to address specific stakeholder issues. Stakeholders will be asked to review completed work products and provide responses to specifically assigned inquiries when necessary or appropriate, as determined by the OEI Team.

### **Integration Vendor**

OJD will contract with an integration vendor with court experience to provide comprehensive software integration and configuration services. This vendor will coordinate and oversee solution development work performing such tasks as requirements gathering, business analysis, development, COTS product selection, interfaces, and data migration. The integration vendor will:

- Define the objectives of and issues associated with integration of information systems applications;
- Explain alternative strategies for systems integration;
- Identify commonly used tools for integrating information systems, describing the benefits of using each;
- Describe the characteristics of systems integration projects, emphasizing the management issues and practices associated with them;
- Provide subject matter experts to enhance the Oregon eCourt Program technical and business team.
- Have experience installing similar systems in court environments.

### **6.6.3 Program Operations**

#### **Project Management**

Sheryl Morrison serves as the Manager of the Oregon eCourt Project Management Office (PMO). In this role, she oversees project managers assigned to specific projects and key project support staff. The PMO is responsible for establishing project management standards, templates, and documentation and for compiling project risks and issues. This position works closely with other program staff to ensure appropriate communication between the various projects. The PMO Manager also participates with the CIO and key program staff to respond to legislative inquiries and concerns. This position also oversees the development of contracts for certain external consulting services to support program objectives and then monitors those contracts that are the responsibility of the PMO.

#### **Oregon eCourt Business Transformation and Public Safety Manager**

In this role, Mike Zanon works with external stakeholders to identify current data exchanges that must be preserved and leverage the Oregon eCourt investment to enable new business processes among and between external court stakeholders. In addition to co-chairing the Stakeholder Integration committee, this position also leads the development of Oregon eCourt Program performance measures and assists with readiness and change management efforts.

### **Oregon eCourt Architecture and eServices Manager**

In this role, Scott Smith is responsible for managing the Infrastructure & Application Architecture and eServices delivered through the web portal. This position also oversees key support teams that are responsible for the following Initiatives: Network and Security Infrastructure, Data Center & Server Infrastructure, Internet and Intranet Portal and Integration Backbone. This position provides advice and recommendations to the CIO on the Oregon eCourt Initiative regarding Architecture and eServices. The position provides leadership on statewide work groups, represents Oregon eCourt with other agencies and manages the staff associated with this area. This position also assists the CIO and Deputy CIO in developing, maintaining and enforcing procedures and policies for ETSD day to day functions, computer operations, and applications development.

### **Oregon eCourt Readiness Analyst**

In this role, John Powell, works closely with the Oregon eCourt Program Director, OETO, the Business Transformation and Public Safety Manager, and members of the eCourt Implementation Team to provide a high level of analysis and recommendations to ensure the successful transformation of the trial courts and OSCA to the eCourt environment. The position will serve as a key point of contact between the eCourt project teams, OEI team, and the trial court staff, OSCA, Judges, and Trial Court Administrators. The eCourt Readiness Analyst is also available to speak to courts, partner agencies and the legislature on eCourt activities.

### **Operations and Infrastructure**

Jim Conlin, the department's Deputy CIO, is responsible for overseeing the information technology operations and infrastructure for the current and future court systems. Areas of responsibility include, network operations, application development and support, server and desktop administration, and customer support. The Deputy CIO serves as the co-chair of the Enterprise Technology Architecture Committee and advises the CIO and other Oregon eCourt program managers on the operational impacts and/or constraints associated with Oregon eCourt plans and activities. This position and the staff he supervises works very closely with local court Technology Support Specialists to address current operations and the impacts of the Oregon eCourt program on local operations.

### **Project Teams**

The project teams are assigned to complete the various planning, design, and implementation tasks associated with the various Oregon eCourt Program projects (e.g. Electronic Content Management, Case Management System, Web Portal, and Decision Support System). Project teams are comprised of key Oregon Judicial Department and/or contract staff with specific skills and abilities to complete project tasks. They are led by a project manager. The teams include subject matter experts from the courts. Each project has a project sponsor and steering committee that provide oversight to the project, and support and direction to the project manager. Questions, issues, and resource needs are reviewed by the sponsor and project steering committee and recommendations and formal requests are forwarded to the OEI Team to assign to the appropriate team(s) for resolution.

**Support**

Support staff/teams for the Oregon eCourt program are comprised of internal OJD budget, personnel, or project administrative staff, consultants, or vendors. These individuals provide a variety of functions including compiling information, developing standard forms, finalizing program documents, taking meeting minutes, storing program documents on central servers, coordinating meetings, and providing outside expertise and services as needed. Support staff generally work under the direction of a program/project manager.

OETO may assist in the development and delivery of application training materials, but will work collaboratively with Oregon eCourt project managers or their designee to manage vendor training activities.

## 7. Risk Management

Significant risk is inherent in all large-scale business transformation and technology projects due to the scope and amount of fundamental change required. This section presents the key program risks, the approach to managing the risks, important critical success factors (CSFs), and the plan for program oversight.

### 7.1 Risk Summary

The Oregon eCourt Business Case identified and defined the potential risks for the Oregon eCourt Program. The key risks are summarized in the table below. For each risk identified, an overall estimated risk rating of High, Medium, or Low has been provided based on the detailed assessment done in the eCourt Business Case.

Key Risk	Overall Estimated Risk Rating
1. Funding cut off mid-project results in incomplete Oregon eCourt implementation.	High
2. Lack of Oregon eCourt understanding by selected vendor(s).	Medium
3. Capability for OJD to manage a program of this size and complexity.	Medium
4. Change in OJD leadership and change in priorities.	High
5. Decisions are not made in time to keep pace with program activities.	Medium
6. Legacy technology failure requires shift in priorities.	Medium
7. Lack of clear internal vision creates competing priorities.	Medium
8. Member courts are unwilling to participate in business process standardization.	High
9. Procurement is delayed	Medium
10. Lack of communication between Oregon eCourt program projects leads to diversions from original goals of the overall program.	Medium

### 7.2 Risk Management

OJD is intently aware of the complexity and potential risk associated with a program of the scale of Oregon eCourt. Therefore, OJD has selected a number of strategies to minimize the risks identified above; they include:

- *Biennial Funding Approach* – The implementation plan is based on distinct implementations keyed to the funding cycle, each delivering program functionality. This allows for incremental program progress and evaluation prior to any commitment to future biennia.
- *System Integrator* – OJD intends to maintain the overall general contractor role in the program, but will be sharing risk with large system integration firms on the larger program components.
- *Implementation Team* – The program has established a team of executive and judicial members to advise the Chief Justice and assist in decision making. This strengthens the thought leadership capabilities of the program and can provide for appropriate checks and balances.
- *Existing State Resources* – OJD intends to leverage existing contracts and services from vendors with a proven record of accomplishment in working with Oregon government agencies.
- *Federal GSA Contracts* – OJD is using federal GSA contracts for some of the products and services within the scope of the program, thereby reducing the potential problems associated with complex procurements.
- *Program Oversight* – The Oregon eCourt Program is very visible within Oregon State government and as such has been assigned oversight from the legislative branch.
- *Quality Assurance Consultant* – The program has hired an independent consulting firm to provide quality assurance and oversight to the program. They have established a minimum of quarterly program reporting and more often as deemed necessary. They also conduct risk assessments as well as provide input to the Implementation Team.
- *Strategic Plan Updates* – OJD intends to evaluate and refine the strategies selected for the program as each implementation is completed in order to ensure long-term vision and communication.

Additional strategies to minimize risk and ensure proper decision making will be defined and implemented as the program continues moving forward.

### **7.3 Critical Success Factors**

Critical Success Factors (CSFs) are items that OJD leadership must manage well in order to realize the vision and objectives outlined in the Strategic Plan. CSFs that are relevant to the OJD IT Strategic Plan for Oregon eCourt are listed below.

#### **7.3.1 Maintaining the Vision**

Key to the success of the Oregon eCourt plan is the ability to sustain and communicate the Oregon eCourt vision over time. A number of forces can work to erode the vision, and there has to be a counterforce in order to stem this. These forces include:

- Erosion of the vision by court staff and judges based on either resistance or misunderstanding.
- Erosion of the vision by vendors and/or IT staff in order to conform the vision to their own experience and abilities.

- Erosion of the vision for expediency or taking the “easier road” when things become difficult or problems arise.
- Turnover of communicators or keepers of the vision due to retirement or other factors.

There are a number of actions that may be taken to mitigate the potential erosion of the vision; they include:

- Manage the vision and the associated change from the top of the organization and reinforce commitment.
- Identify and assign resources to be keepers of the vision and provide for periodic oversight reviews by OTTAC.
- Plan and anticipate potential changes to or erosion of the vision as the program progresses.
- Recognize and take immediate action to correct any deviations from the vision when issues are identified.
- Communicate the vision clearly and regularly with a broad spectrum of stakeholders, including courts, OSCA staff, agency partners, the legislature and the media.

### **7.3.2 Establishing the Management Team**

Key to any large-scale business transformation and technology program is having the necessary talent and experience as part of the management team. In order to meet the needs of the program, OJD has hired and/or developed personnel to fill key roles on the program management team. However, potential problems include:

- Underestimating the amount of management resources or talent necessary to meet the needs of the program.
- Management not working as a team to address and resolve issues or communicating the same messages.
- Management not willing to make the tough decisions facing the program or not addressing the issues when they need resolution.
- Getting caught up in the current tasks and ignoring other difficult tasks or decisions.

There are a number of actions that may be taken to ensure proper use of the management team; they include:

- Define a clear organization structure and chain of command.
- Develop well-defined management processes and ensure they are followed over time.
- Establish open communications and allowing members to tell it like it is when there maybe problems.
- Create an “environment of trust” so that uncomfortable facts and data can be presented in order for action to be defined.

### 7.3.3 Continual Evolution

The planned duration of this business and technical transformation spans between 7 and 10 years and new opportunities and technological options will appear. It is important to ensure leadership continues to evolve its thinking and not become too comfortable in assuming the planning has been completed. The risk is implementing outdated technology or concepts.

There are multiple ways to keep current and knowledgeable about all available options; they include:

- Continuous exposure to the technology market, especially the court technology environment.
- Exposure to the business environment and significant advancements in other parts of the country.
- Periodic training of management and leadership in new technologies and methods.
- Experts with first-hand knowledge of the court market.
- Review and refreshing the on-going strategic plan for OJD.

### 7.3.4 Inspection

All large programs require significant oversight and auditing in order to ensure correct decisions are being made and proper attention is being paid to key issues. Lack of inspection may lead to putting on blinders and becoming comfortable with the way things are. Organizations must not be afraid to identify, present, and resolve the tough issues as they arise. Proper inspections ensure the issues are identified, raised to the appropriate level, and resolved.

There are multiple ways to validate or inspect what is planned or being done, they include:

- Developing, updating and using an issues checklist on a monthly basis.
- Hiring independent quality assurance consultants with knowledge of the market and with full lines of communication to upper management.
- Conducting potential problem analysis sessions with key project team members and with court personnel brought in to review concepts and plans.
- Using the quarterly OTTAC meetings to obtain feedback on plans and issues.

## 7.4 Oregon eCourt Program Oversight

Quality assurance is one of the success factors of large, complex technology projects. The magnitude of the Oregon eCourt Program makes the need for oversight clearly evident. Program quality assurance will be provided by both internal resources organized for this purpose and by independent external resources. The Oregon eCourt Program oversight is described in the subsections below.

### 7.4.1 Internal OJD Oversight

Primary oversight of the Oregon eCourt Program will be provided internally within OJD. At a minimum, there will be three functions or groups that provide program area and project oversight. These are:

- *Program Management* – Regular project reviews of the various Oregon eCourt Program initiatives and projects will be conducted by the CIO, the Project Management Office and the

external quality assurance (QA) contractor. These will include reporting on the deliverables, issues, risks, budget, and timeline.

- *Implementation Team*– The team will review the status of the overall Oregon eCourt Program and individual projects on a regular basis.
- *Chief Justice* – The Chief Justice and SCA will review the overall program, initiatives, and projects on a quarterly basis and more often as deemed desirable. This review will be delivered by the CIO.

#### **7.4.2 Legislative Oversight**

The OJD CIO and SCA report progress and results to the legislature on a regular basis. The program provides monthly reports to the Legislative Fiscal Office, detailing progress, milestones, and plans and risks for the next month. In addition, the program:

- Initiated regular bi-weekly meetings with LFO
- Provided LFO access to project files
- Invited LFO to all project and program meetings
- Completed CNIC lessons learned report at LFO request
- Addressed LFO expectations (immediate) by completing requested documentation and committed to responding to all future requests

#### **7.4.3 Independent Oversight**

The Oregon eCourt Program has included independent, third-party quality assurance oversight reporting directly to the Chief Justice. This oversight provides guidance, monitoring, and recommendations to the Chief Justice, OSCA, the Implementation Team, the CIO, and the legislature. These reviews are conducted quarterly and more often as deemed necessary. They include but are not limited to review of the following:

- Alignment with the TSP.
- Business process alignment with the Oregon eCourt Program vision.
- Budget.
- Project timeline and key milestones.
- Vendor deliverables.
- Program issues and risks.
- Organizational readiness.

Attention must be paid to each of these risks and critical success factors if the benefits desired through implementation of the plan are to be realized. These factors must be considered and factored into every initiative and project undertaken as a result of the TSP.

## 8. Appendix A

### Appendix A – Glossary and Table of Acronyms

Term	Definition
Case Management System (CMS)	An application that enables court staff to calendar updates and track all types of court cases.
Decision Support (DSS)	A set of databases and tools that collectively provide information to support sentencing, track individuals in the judicial system, and provide an integrated way to analyze information useful for judicial and management decisions.
document	In a paperless court, a document may include information formatted in any number of ways, including text, graphics, sound recordings, video recordings, or combinations of these. It will no longer only mean a piece of paper.
eFiling	A process by which someone files a court document with the court or Clerk's Office by means of an online computer transmission of the document in electronic form.
Electronic Content Management (ECM)	How we manage or work with all of the electronic content, including text, audio, video, and data. Another term often used is document management. This acronym also refers to the system itself.
Enterprise Content Management (ECM)	How the organization manages or works with all of the enterprise content, including text, audio, video, and data. Another term often used is document management.
ePayment	Paying fees online through a secure Web site.
eService	The function of providing electronic process serving; also used in a more general way to denote online services.
Financial Management System (FMS)	An application that serves the dual function of handling all court case-related financial information, as well as functioning as the core financial management for the Branch as a whole.
intranet	An internal limited-access network allowing communication of information inside an institution or within a user group. Not open to the public like the internet is.
Web Portal	A virtual (computer-based) entryway into all court-related electronic services from the internet and the intranet. Allows all users, both internal and external, to see the same entry options and information, with certain security exceptions for external users.

Acronym	Definition
ACMS	Appellate Case Management System
BFSD	Business and Financial Services Division
CIO	Chief Information Officer
CJC	Criminal Justice Commission
CJIS	Criminal Justice Information System
CMS	Case Management System
CSF	Critical Success Factors
DMV	Division of Motor Vehicles
DSS	Decision Support System(s)
DSCA	Deputy State Court Administrator
ECM	Enterprise Content Management
EAC	Education Advisory Committee
ETAC	Enterprise Technology Architecture Committee
ETSD	Enterprise Technology Services Division
FMS	Financial Management System
FIAS	Financial Integrated Accounting System
FTR	For The Record (commercial software)
GSA	General Services Agreement
JAMS	Judicial Administrative Systems
JEAC	Judicial Education Advisory Committee
JOIN	Juvenile OJIN Integrated Network
LEDS	Law Enforcement Data System
OEI	OJD eCourt Implementation Team
OETO	Office of Education, Training and Outreach
OJIN	Oregon Judicial Information Network
OSB	Oregon State Bar
OSCA	Office of the State Court Administration
OTTAC	OJD Technology Transformation Advisory Committee
PCP	Public Case Participation
PIB	Partner Integration Backbone
PM	Project Manager

PMBOK	Project Management Body of Knowledge
PMO	Project Management Office
PMP	Certified Project Management Professional
PJ	Presiding Judge
QA	Quality Assurance
SCA	State Court Administration
SFMS	Statewide Financial Management System
SWOT	Strengths, Weaknesses, Opportunities and Threats
TCA	Trial Court Administrators
TC	Technology Committee
TSP	Technology Strategic Plan
TSS	Technical Support Specialists

## 9. Appendix B

### Appendix B – Bibliography

The documents listed below have been developed in support of the Oregon eCourt Strategic Plan over the last 2 years and provide additional background on the needs the courts and the future vision. References are organized by delivery date.

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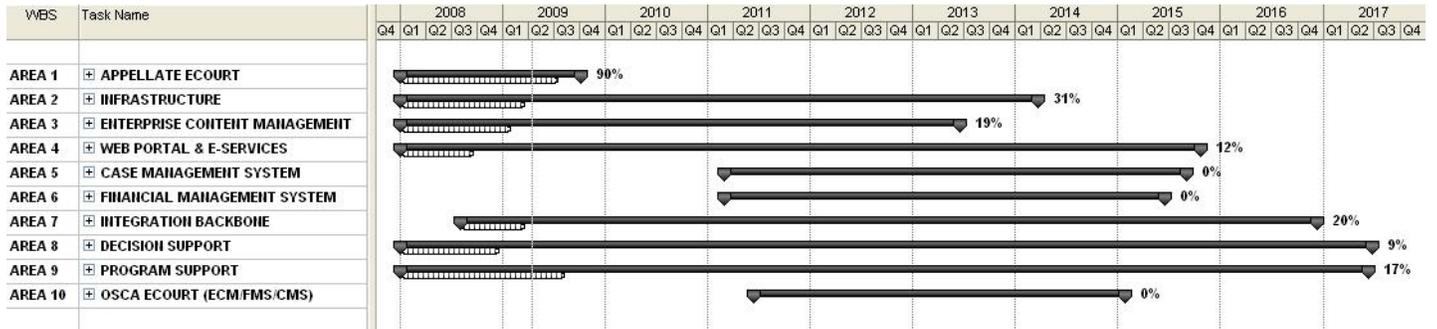
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# 10. Appendix C

## Appendix C - Program Schedule



# 11. Appendix D

## Appendix D - Detailed Program Budget

	Total	FY 07/09	FY 09/11	FY 11/13	FY 13/15	FY 15/17
<b>AREA 1 APPELLATE ECOURT</b>	\$ 3,015,119	\$ 2,309,737	\$ 705,382	\$ -	\$ -	\$ -
INITIATIVE 1.1 APPELLATE ECOURT	3,015,119	2,309,737	705,382	-	-	-
<b>AREA 2 INFRASTRUCTURE</b>	\$ 4,086,484	\$ 991,572	\$ 1,858,394	\$ 986,518	\$ 250,000	\$ -
INITIATIVE 2.1 NETWORK INFRASTRUCTURE	802,209	802,209	0	-	-	-
INITIATIVE 2.2 DATA CENTER AND SERVER INFRASTRUCTURE	1,966,905	95,666	634,721	986,518	250,000	-
INITIATIVE 2.3 SECURITY	1,317,370	93,697	1,223,673	-	-	-
<b>AREA 3 ENTERPRISE CONTENT MANAGEMENT</b>	\$ 16,067,465	\$ 4,304,470	\$ 9,733,767	\$ 2,029,228	\$ -	\$ -
INITIATIVE 3.1 ENTERPRISE CONTENT MANAGEMENT	15,618,516	4,062,989	9,526,299	2,029,228	0	-
INITIATIVE 3.2 PERSON BASED MODEL	448,949	241,481	207,468	-	-	-
<b>AREA 4 WEB PORTAL</b>	\$ 10,118,158	\$ 1,261,064	\$ 5,089,970	\$ 2,049,018	\$ 1,052,727	\$ 665,379
INITIATIVE 4.1 PORTAL FRAMEWORK	5,599,310	1,056,474	1,689,572	1,135,158	1,052,727	665,379
INITIATIVE 4.2 E-FILE/ELECTRONIC SERVICE DELIVERY	3,798,848	204,590	3,400,398	193,860	-	-
INITIATIVE 4.3 INTRANET	40,000	-	-	40,000	-	-
INITIATIVE 4.4 ENTERPRISE SEARCH	680,000	-	-	680,000	-	-
<b>AREA 5 CASE MANAGEMENT SYSTEM</b>	\$ 15,007,515	\$ 4,595	\$ 138,312	\$ 9,843,502	\$ 5,021,106	\$ -
INITIATIVE 5.1 CASE MANAGEMENT SYSTEM	13,678,583	4,595	138,312	8,514,570	5,021,106	-
INITIATIVE 5.2 PERIPHERAL CASE MANAGEMENT SYSTEMS	1,328,932	-	-	1,328,932	-	-
<b>AREA 6 FINANCIAL MANAGEMENT SYSTEM</b>	\$ 11,870,446	\$ 111,680	\$ 138,312	\$ 6,573,412	\$ 5,047,042	\$ -
INITIATIVE 6.1 FINANCIAL MANAGEMENT SYSTEM	11,870,446	111,680	138,312	6,573,412	5,047,042	-
<b>AREA 7 INTEGRATION BACKBONE</b>	\$ 5,678,491	\$ 92,244	\$ 103,734	\$ -	\$ 3,058,630	\$ 2,423,883
INITIATIVE 7.1 INTEGRATION BACKBONE	5,678,491	92,244	103,734	-	3,058,630	2,423,883
INITIATIVE 7.2 STAKEHOLDER DATA INTEGRATION	-	-	-	-	-	-
<b>AREA 8 DECISION SUPPORT</b>	\$ 6,326,041	\$ -	\$ -	\$ -	\$ 3,745,950	\$ 2,580,091
INITIATIVE 8.1 DECISION SUPPORT	6,326,041	-	-	-	3,745,950	2,580,091
<b>AREA 9 PROGRAM SUPPORT</b>	\$ 53,680,205	\$ 5,955,189	\$ 6,936,775	\$ 14,761,232	\$ 14,783,855	\$ 11,243,154
INITIATIVE 9.1 LAW & POLICY	-	-	-	-	-	-
INITIATIVE 9.2 PROCESS AND STANDARDS DEFINITION	-	-	-	-	-	-
INITIATIVE 9.3 PERFORMANCE MEASUREMENT	800,000	-	-	400,000	400,000	-
INITIATIVE 9.4 STRATEGIC PLAN IMPLEMENTATION	1,701,614	1,701,614	-	-	-	-
INITIATIVE 9.5 GOVERNANCE	-	-	-	-	-	-
INITIATIVE 9.6 PROJECT MANAGEMENT	18,209,184	1,570,376	3,496,260	4,454,263	4,777,809	3,910,476
INITIATIVE 9.7 PROCUREMENT	-	-	-	-	-	-
INITIATIVE 9.8 HUMAN RESOURCE MANAGEMENT	-	-	-	-	-	-
INITIATIVE 9.9 CUSTOMER SUPPORT/TRAINING & EDUCATION	3,392,874	120,373	832,933	868,283	922,486	648,799
OVERHEAD	9,547,641	715,148	863,065	2,622,574	2,579,087	2,767,767
INTEGRATION PARTNER	5,083,335	83,334	1,000,001	1,500,000	1,500,000	1,000,000
QUALITY ASSURANCE	3,868,273	575,421	544,516	916,112	916,112	916,112
REMEDATION	1,077,073	977,073	100,000	-	-	-
CONTINGENCY	9,999,998	211,637	100,000	4,000,000	3,688,361	2,000,000
STAKEHOLDER INTEGRATION	213	213	-	-	-	-
<b>AREA 10 OSCA eCOURT</b>	\$ 2,881,071	\$ -	\$ -	\$ 1,572,639	\$ 1,308,432	\$ -
INITIATIVE 10.1 OSCA ECM/ECOURT	2,881,071	-	-	1,572,639	1,308,432	-
<b>MAINTENANCE AND OPERATIONS</b>	\$ 39,012,136	\$ -	\$ 4,412,764	\$ 8,267,181	\$ 11,529,710	\$ 14,802,481
AREA 1 APPELLATE eCOURT	4,904,207	-	751,073	1,314,218	1,384,216	1,454,700
AREA 2 INFRASTRUCTURE/NETWORK OPERATIONS	3,643,001	-	174,300	864,243	1,064,496	1,539,962
AREA 3 ENTERPRISE CONTENT MANAGEMENT	18,290,667	-	3,280,523	4,209,022	5,376,110	5,425,012
AREA 4 WEB PORTAL	5,521,898	-	206,868	1,357,652	1,869,617	2,087,761
AREA 5 CASE MANAGEMENT	2,578,548	-	-	208,103	794,686	1,575,759
AREA 6 FINANCIAL MANAGEMENT	2,917,984	-	-	313,943	910,033	1,694,008
AREA 7 INTEGRATION BACKBONE MAINTENANCE	575,532	-	-	-	-	575,532
AREA 8 DECISION SUPPORT MAINTENANCE	580,299	-	-	-	130,552	449,747
AREA 9 PROGRAM SUPPORT	-	-	-	-	-	-
AREA 10 OSCA eCOURT	-	-	-	-	-	-
<b>Totals:</b>	\$ 167,743,131	\$ 15,030,551	\$ 29,117,410	\$ 46,082,730	\$ 45,797,452	\$ 31,714,988
<b>Development and Implementation Totals:</b>	\$ 128,730,995	\$ 15,030,551	\$ 24,704,646	\$ 37,815,549	\$ 34,267,742	\$ 16,912,507
<b>Maintenance and Operations Totals:</b>	\$ 39,012,136	\$ -	\$ 4,412,764	\$ 8,267,181	\$ 11,529,710	\$ 14,802,481
<b>Project Total:</b>	\$ 167,743,131					

Note: Totals may not match exactly due to rounding error.

## 12. Decisions and Actions

### 12.1 Overview

By signature, the project sponsors indicate their agreement for and support of this plan.

### 12.2 Action Taken

Action Taken	
<input type="checkbox"/>	<b>Approved</b> – move forward as presented.
<input type="checkbox"/>	<b>Approved with minor changes</b> – approved without additional review, assuming minor changes are made
<input type="checkbox"/>	<b>Change</b> – make requested changes with another review for approval
<input type="checkbox"/>	<b>Hold</b> – hold work on this request; to be reviewed again later
<input type="checkbox"/>	<b>Denied</b> – request denied

### 12.3 Approving Authorities

\_\_\_\_\_  
Plan Manager

\_\_\_\_\_  
Date

\_\_\_\_\_  
Chief Information Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
State Court Administrator

\_\_\_\_\_  
Date

\_\_\_\_\_  
Chief Justice

\_\_\_\_\_  
Date