



Supreme Court of Florida

500 South Duval Street
Tallahassee, Florida 32399-1925

RICKY POLSTON
CHIEF JUSTICE
BARBARA J. PARIENTE
R. FRED LEWIS
PEGGY A. QUINCE
CHARLES T. CANADY
JORGE LABARGA
JAMES E. C. PERRY
JUSTICES

LEGISLATIVE BUDGET REQUEST

October 15, 2013

THOMAS D. HALL
CLERK OF COURT

SILVESTER DAWSON
MARSHAL

Jerry L. McDaniel, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, Florida 32399-0001

JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Mike Hansen, Staff Director
Senate Budget Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Judicial Branch is submitted in the format prescribed in the budget instructions. The information provided electronically is a true and accurate presentation of our proposed needs for the 2014-15 Fiscal Year.

Sincerely,

A handwritten signature in blue ink, appearing to read "Ricky Polston", written over a light blue horizontal line.

Ricky Polston

RP/ssb

Department Level Exhibits and Schedules

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

Agency:	Second Judicial Circuit		
Contact Person:	Phillip P. Quaschnick	Phone Number:	850-414-3671
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Willie Cuyler v. The Honorable Judge Charles Dobson, Judge Jackie Fulford, Clerk of the Court Bob Inzer, Assistant County Attorney Courtney E. Frazier, and Deputy Sherriff Mark McGowan		
Court with Jurisdiction:	2nd Jud. Cir.		
Case Number:	2012-CA-1374		
Summary of the Complaint:	Frivolous Petition for Writ of Quo Warranto filed by Pl., a “sovereign citizen” inmate		
Amount of the Claim:	\$16,000,000.00		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	Notice of Failure to Serve Process filed. Filing fee not paid		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VIII - A

Priority Listing of Agency Budget Issues

Supreme Court - 22010100

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Competitive Pay Adjustment Issue for State Courts System Employees	4401A70		189,502	1000	1
Equity and Retention Pay Issue for State Courts System Employees	4401A80		324,860	1000	1
Death Penalty Case Processing	3000080	1.0	59,717	1000	2
Case Processing Support	3001700	1.0	76,331	1000	3
Supreme Court - Meet Acceptable Security Standards	6800600	3.0	254,310	1000	4
Law Library - Legal Research	4100400		17,069	1000	5
Interior Space Refurbishing	7000260		237,360	1000	6

Schedule VIII - A

Priority Listing of Agency Budget Issues

Executive Direction - 22010200

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Competitive Pay Adjustment Issue for State Courts System Employees	4401A70		319,946	1000	1
			36,307	2261	
Equity and Retention Pay Issue for State Courts System Employees	4401A80		583,650	1000	1
			27,069	2261	
EFACTS Productivity Support	36311C0		172,834	1000	2
Judicial Data Management	3004210		502,086	1000	3
Legal Research Support	36314C0		91,840	1000	4
Certification of Additional Judgeships	3009310		32,000	1000	TBD

Schedule VIII - A

Priority Listing of Agency Budget Issues

District Courts of Appeal - 22100600

Title	Issue Code	FTE	Amount	Fund	Priority
Competitive Pay Adjustment Issue for State Courts System Employees	4401A70		740,081	1000	1
			50,978	2021	
Equity and Retention Pay Issue for State Courts System Employees	4401A80		1,268,710	1000	1
Third District Court of Appeal - Court Building Remodeling for Security and Building System Upgrades - DMS MGD (Category: 080179)	990M000		2,137,505	1000	1
Third District Court of Appeal Entrance Door Replacement (Category: 080183)	990M000		64,023	1000	1
Fourth District Court of Appeal Remodeling - DMS MGD (Category: 080178)	990M000		3,052,327	1000	1
Second District Court of Appeal Paved Surface Maintenance and Repair Statewide - DMS MGD (Category: 081600)	990M000		30,450	1000	1
Third District Court of Appeal Emergency Generator System (Category: 080032)	990S000		212,814	1000	1
Fifth District Court of Appeal Heating Ventilating and Air Conditioning Replacement - DMS MGD (Category: 080184)	990M000		724,389	1000	2
Third District Court of Appeal Acquisition and Installation of Hurricane Storm Shutters (Category: 080174)	990S000		88,294	1000	2
Fifth District Court of Appeal - Security Enhancements (Category: 080176)	990S000		125,000	1000	2
Building, Facilities Maintenance, and Operational Upkeep	7000210		468,639	1000	2/3
Certification of Additional Judgeships	3009310	4.0	450,350	1000	TBD

Schedule VIII - A

Priority Listing of Agency Budget Issues

Circuit Courts - 22300100

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Competitive Pay Adjustment Issue for State Courts System Employees	4401A70		4,056,043	1000	1
			2,145	2021	
Equity and Retention Pay Issue for State Courts System Employees	4401A80		6,954,432	1000	1
			2,461	2021	
Civil/Criminal Conflict Case Costs	5210000		1,211,877	1000	2
Court Reporting Equipment Refresh and Maintenance	36341C0		4,806,925	1000	3
Court Reporting Equipment Expansion	36342C0		1,446,114	1000	4
Death Penalty Case Processing	3000080	27.0	1,918,731	1000	5
Funding for Backlog of Foreclosure Cases	3001010		3,837,624	1000	6
Trial Courts General Counsel Support	3000120	10.0	1,181,043	1000	7
Fund Shift Cost Sharing from SCRTF to GR - Deduct	3400330		(3,695,347)	2057	8
Fund Shift Cost Sharing from SCRTF to GR - Add	3400340		3,695,347	1000	8
Courthouse Furnishings - Nonpublic Areas	5402000		116,607	1000	9
Post-Adjudicatory Drug Court	5406010		544,013	1000	10
Certification of Additional Judgeships	3009310	53.0	5,818,578	1000	TBD

Schedule VIII - A

Priority Listing of Agency Budget Issues

County Courts - 22300200

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Competitive Pay Adjustment Issue for State Courts System Employees	4401A70		411,320	1000	1
Equity and Retention Pay Issue for State Courts System Employees	4401A80		705,120	1000	1
Certification of Additional Judgeships	3009310	94.0	12,269,663	1000	TBD

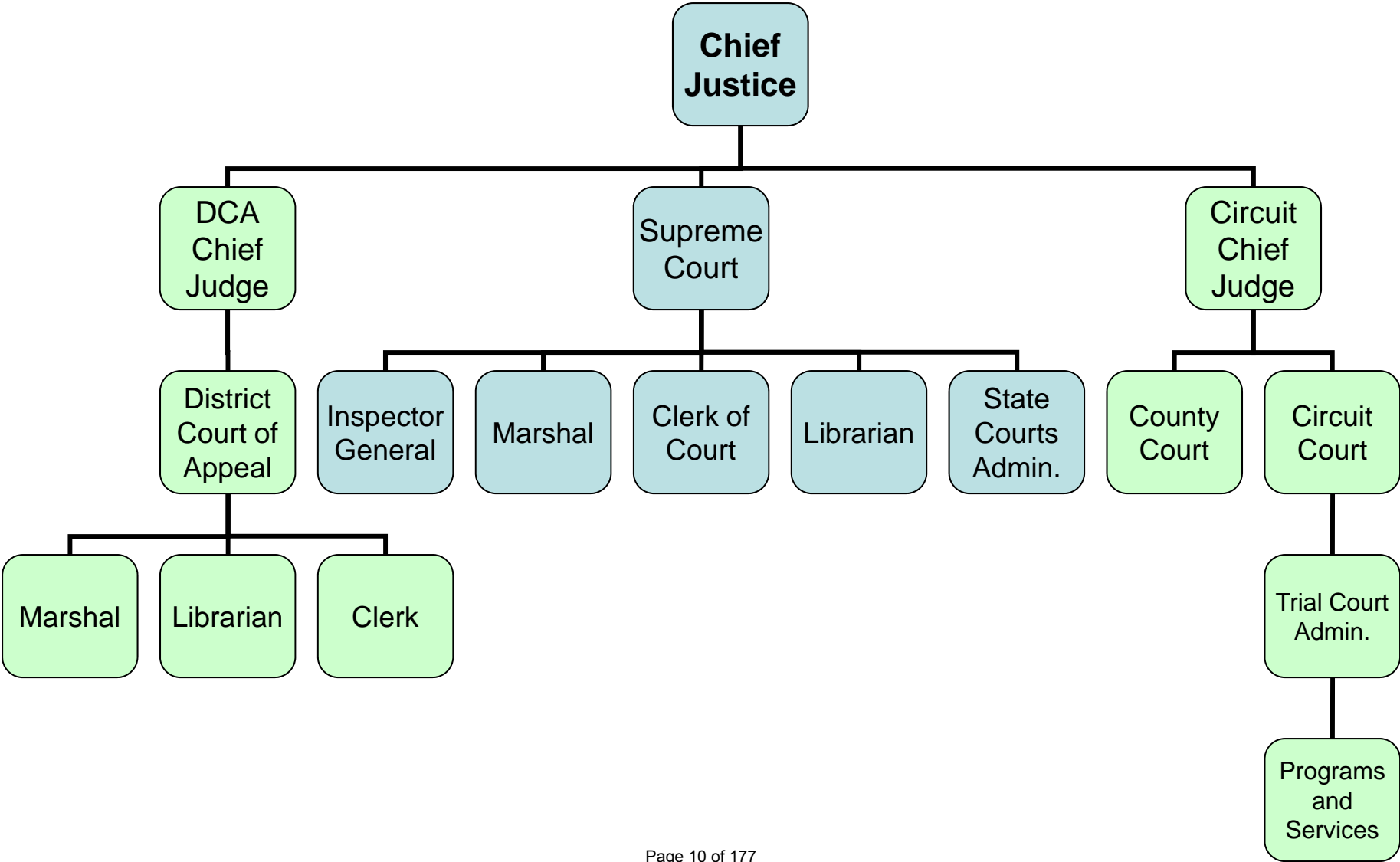
Schedule VIII - A

Priority Listing of Agency Budget Issues

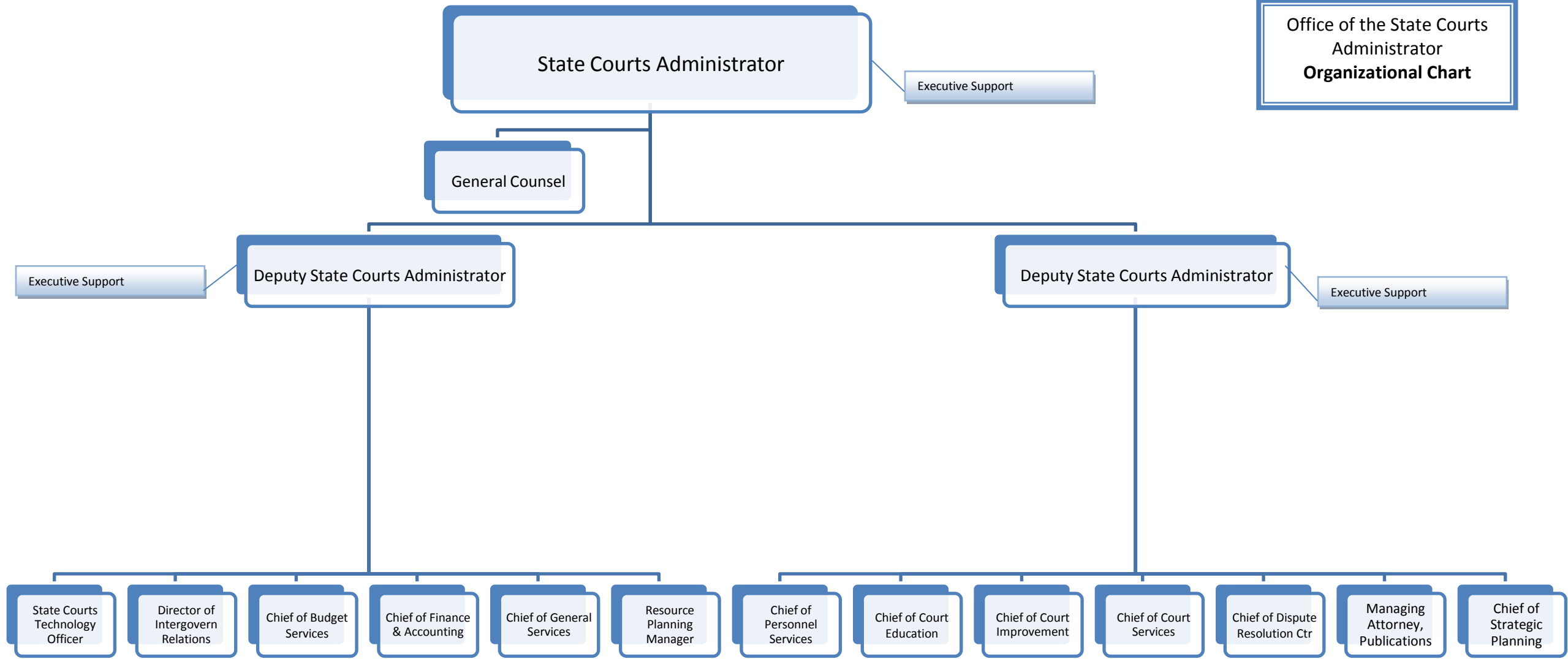
Judicial Qualification Commission - 22350100

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Competitive Pay Adjustment Issue for State Courts System Employees	4401A70		11,598	1000	1

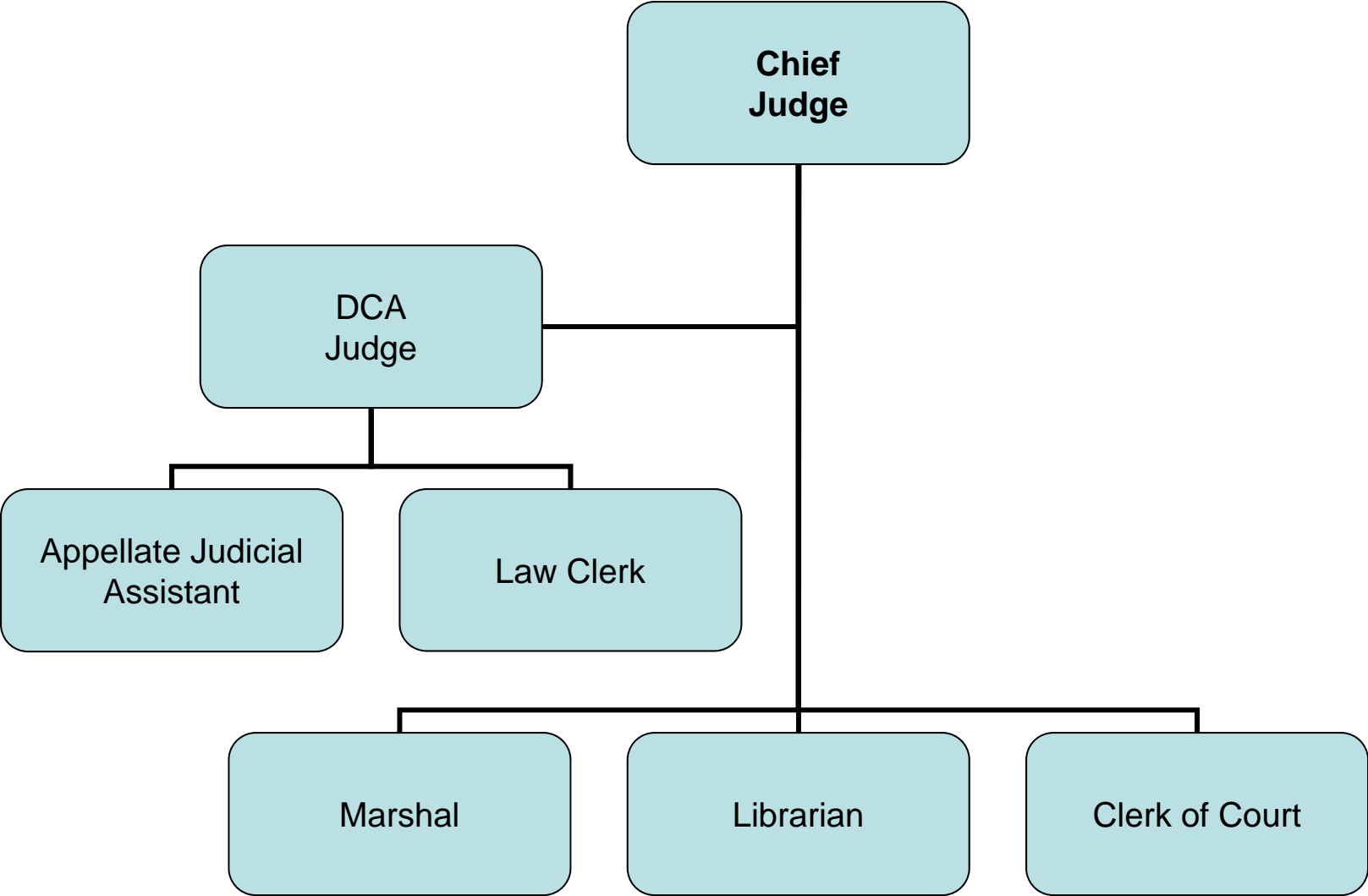
FLORIDA STATE COURTS SYSTEM



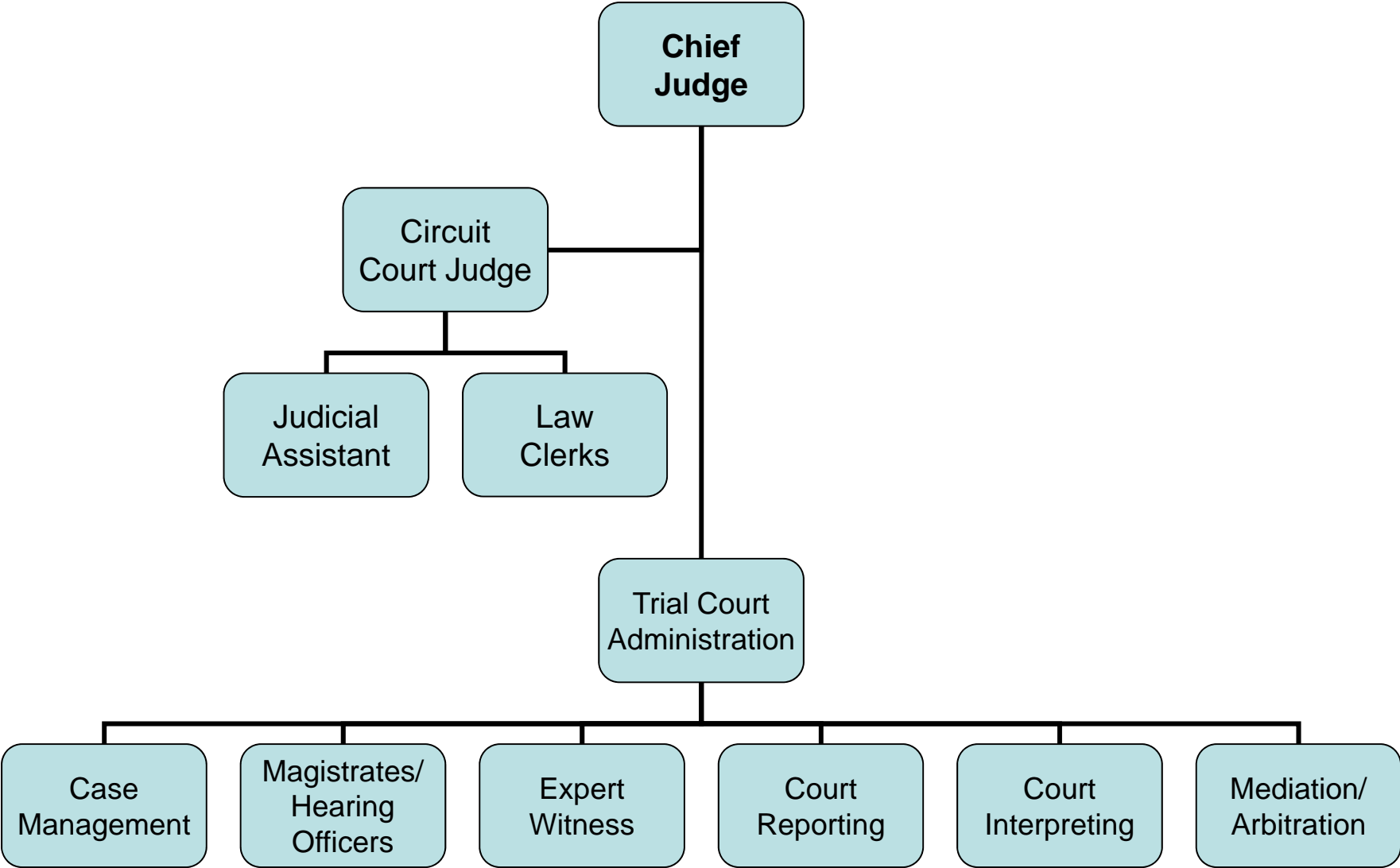
Office of the State Courts
Administrator
Organizational Chart



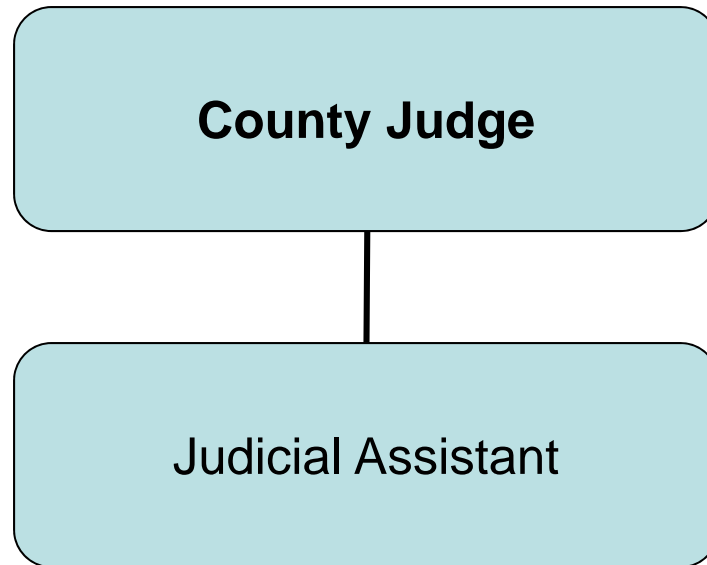
DISTRICT COURTS OF APPEAL



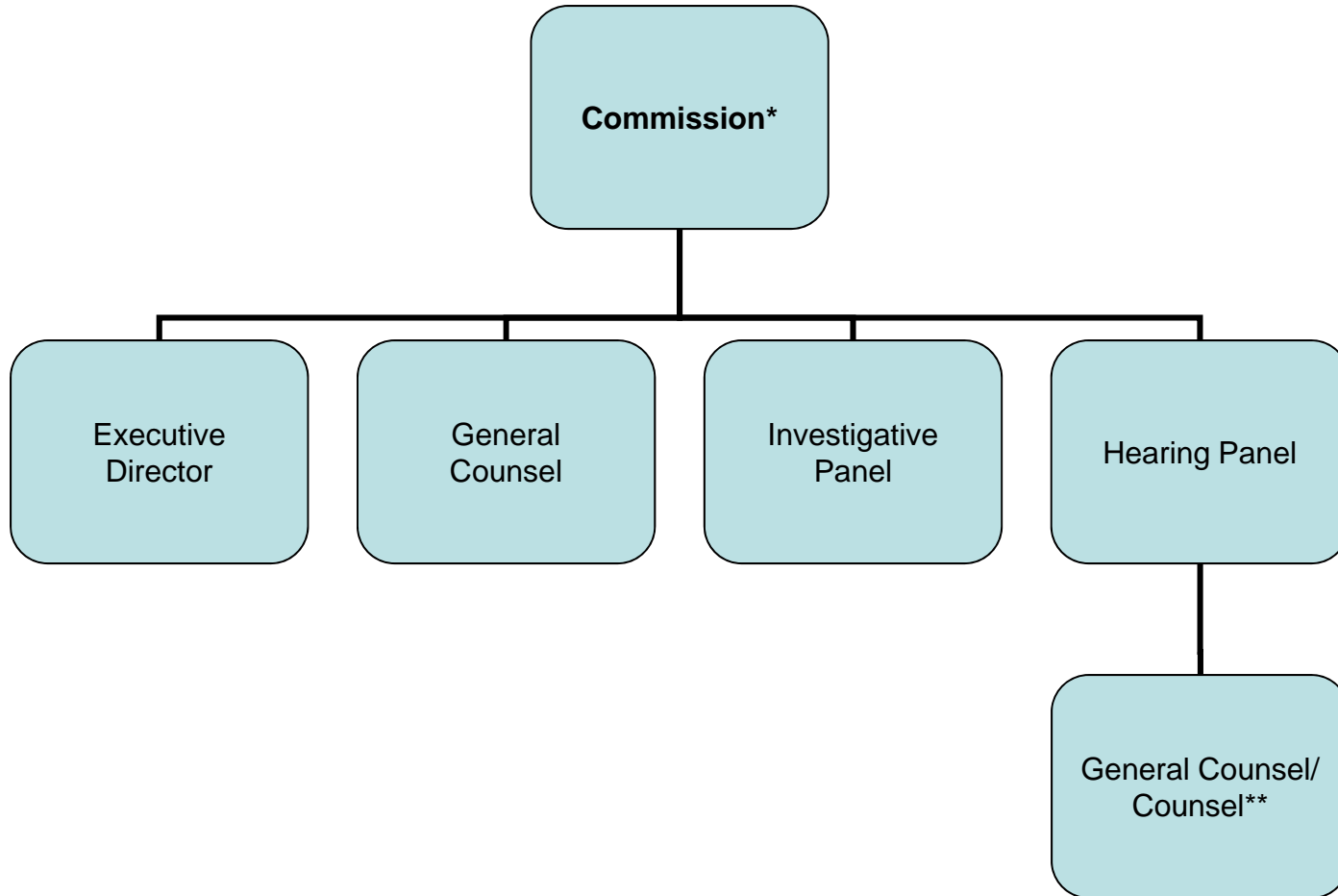
CIRCUIT COURTS



COUNTY COURTS



JUDICIAL QUALIFICATIONS COMMISSION



* Volunteer, Non-Salaried Positions

** Contractual, Non-Salaried Positions

STATE COURT SYSTEM

FISCAL YEAR 2012-13

SECTION I: BUDGET

	OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	445,203,339	1,000,000
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	27,275,928	0
FINAL BUDGET FOR AGENCY	472,479,267	1,000,000

SECTION II: ACTIVITIES / MEASURES	NUMBER OF UNITS	(1) UNIT COST	(2) EXPENDITURES (ALLOCATED)	(3) FCO
EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION TECHNOLOGY (2)				
SUPREME COURT LIBRARY / Number of cases supported	3,615	167.32	604,870	
COURT RECORDS AND CASE FLOW MANAGEMENT / Number of records maintained	46,542	120.97	5,630,138	
SECURITY / Number of square feet secured	1,531,422	.93	1,418,918	
FACILITIES MAINTENANCE AND MANAGEMENT / Number of square feet maintained	1,531,422	3.07	4,705,892	1,000,000
JUDICIAL PROCESSING OF CASES / Number of cases disposed (all case types)	3,821,239	72.12	275,602,873	
JUDICIAL AND COURT STAFF EDUCATION / Number of contact hours	73,992	41.40	3,063,342	
PROFESSIONAL CERTIFICATION / Number of professionals certified	3,400	244.33	830,721	
COURT SERVICES / Number of analyses conducted	16,826	103.43	1,740,259	
CASE PROCESS ANALYSIS AND IMPROVEMENT / Number of cases analyzed.	45,137	43.44	1,960,918	

SECTION II: ACTIVITIES / MEASURES	NUMBER OF UNITS	(1) UNIT COST	(2) EXPENDITURES (ALLOCATED)	(3) FCO
DISPOSITION OF COMPLAINTS AGAINST THE JUDICIARY /				
Number of complaints disposed	604	1,166.20	704,382	
TOTAL			296,262,313	1,000,000

SECTION III: RECONCILIATION TO BUDGET	EXPENDITURES	FCO
PASS THROUGHS		
TRANSFER - STATE AGENCIES	3,438,240	
AID TO LOCAL GOVERNMENTS		
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS		
OTHER	131,351,896	
REVERSIONS	20,164,325	

TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4) 451,216,774 1,000,000

- *****
- (1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
 - (2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
 - (3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
 - (4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

AUDIT NOTE: Senate Bill 1852 National Mortgage Foreclosure Settlement Funds in the amount of \$21,262,579 were reverted and reappropriated and are not included in the Reversions amount captured in Section III. Remaining difference due to rounding.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: State Courts System

Contact: Dorothy Wilson

Article III, Section 19(a)3, Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2013 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2013-2014 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2014-2015 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	State Courts Revenue Trust Fund (SCRTF) Article V Revenue	R	96,400,000	96,400,000
b	Maintenance, Repairs, and Capital Improvements	B	2,000,000	7,140,801
c				
d				
e				
f				

- 3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue estimates (from your Schedule I) or budget drivers, please explain the variance(s) below.

a) No variance.

b) The Judicial Branch LBR request for \$7,140,801 in General Revenue for FY 2014-15 maintenance, repairs, and fixed capital outlay includes one project for the Supreme Court at \$237,360; two projects for the 2nd District Court of Appeal at \$50,200; five projects for the 3rd District Court of Appeal at \$2,551,525; one project for the 4th District Court of Appeal at \$3,052,327; two projects for the 5th District Court of Appeal at \$849,389; and one project for all the District Courts of Appeal at \$400,000.

* R/B = Revenue or Budget Driver

Supreme Court Exhibits and Schedules

Supreme Court Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	22010100
	2021

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,508.00	(A)		1,508.00
ADD: Other Cash (See Instructions)		(B)		0.00
ADD: Investments		(C)		0.00
ADD: Outstanding Accounts Receivable		(D)		0.00
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	1,508.00	(F)	0.00	1,508.00
LESS: Allowances for Uncollectibles		(G)		0.00
LESS: Approved "A" Certified Forwards		(H)		0.00
Approved "B" Certified Forwards		(H)		0.00
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)		(I)		0.00
LESS: _____		(J)		0.00
Unreserved Fund Balance, 07/01/13	1,508.00	(K)	0.00	1,508.00 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	State Courts Revenue Trust Fund
LAS/PBS Fund Number:	22010100
	2057

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	671.73	(A)		671.73
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	671.73	(F)	0	671.73
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		-
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS:		(J)		-
Unreserved Fund Balance, 07/01/13	671.73	(K)	-	671.73 **

Notes:

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Executive Direction

Exhibits and Schedules

Executive Direction

Schedule I Series

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: State Courts System **Budget Period: 2014 -2015**
Program: Department Level
Fund: 2146 - Court Education Trust Fund

Specific Authority: 25.384
Purpose of Fees Collected: To provide education and training to Judges and other court personnel.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 -13	FY 2013 -14	FY 2014 -15
<u>Receipts:</u>			
<u>Filing Fees - Probate and Circuit Civil</u>	1,509,857	1,500,000	1,400,000
<u>Filing Fees - County Civil</u>	1,474,560	1,500,000	1,500,000
<u>Prior Year Refunds</u>	8,381		
Total Fee Collection to Line (A) - Section III	2,992,798	3,000,000	2,900,000

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	1,087,101	1,200,696	1,218,073
<u>Other Personal Services</u>	74,033	105,540	105,540
<u>Expenses</u>	1,743,852	1,904,449	1,904,449
<u>Operating Capital Outlay</u>	9,848	10,000	10,000
<u>Contracted Services</u>	56,376	106,105	106,105
<u>Lease/Purchase of Equipment</u>	7,292	7,500	7,500
<u>HR/Transfers/Special Categories</u>	4,017	3,984	3,984
<u>GR Service Charge</u>	238,753	240,000	232,000
Total Full Costs to Line (B) - Section III	3,221,272	3,578,274	3,587,651

Basis Used: _____

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	2,992,798	3,000,000	2,900,000
TOTAL SECTION II	(B)	3,221,272	3,578,274	3,587,651
TOTAL - Surplus/Deficit	(C)	(228,474)	(578,274)	(687,651)

EXPLANATION of LINE C:
Deficits in all fiscal years will be covered by carry forward cash.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	22010200
	2021

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	565,400.40	(A)		565,400.40
ADD: Other Cash (See Instructions)		(B)		0.00
ADD: Investments		(C)		0.00
ADD: Outstanding Accounts Receivable	19,753.84	(D)	954.67	20,708.51
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	585,154.24	(F)	954.67	586,108.91
LESS: Allowances for Uncollectibles		(G)		0.00
LESS: Approved "A" Certified Forwards	18,272.36	(H)		18,272.36
Approved "B" Certified Forwards		(H)		0.00
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)	2,182.72	(I)		2,182.72
LESS: _____		(J)		0.00
Unreserved Fund Balance, 07/01/13	564,699.16	(K)	954.67	565,653.83 **

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015 State Courts System
Trust Fund Title:	State Courts Revenue Trust Fund
Budget Entity:	22010200
LAS/PBS Fund Number:	2057

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	5,443,659.50	(A)		5,443,659.50
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	5,443,659.50	(F)	0	5,443,659.50
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	13,218.96	(H)		13,218.96
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	1,872,077.49	(I)		1,872,077.49
LESS:		(J)		-
Unreserved Fund Balance, 07/01/13	3,558,363.05	(K)	-	3,558,363.05 **

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Court Education Trust Fund
LAS/PBS Fund Number:	22010200
	2146

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,096,284.54	(A)			1,096,284.54
ADD: Other Cash (See Instructions)		(B)			0.00
ADD: Investments		(C)			0.00
ADD: Outstanding Accounts Receivable		(D)			0.00
ADD: _____		(E)			0.00
Total Cash plus Accounts Receivable	1,096,284.54	(F)	0.00		1,096,284.54
LESS Allowances for Uncollectibles		(G)			0.00
LESS Approved "A" Certified Forwards	176,122.96	(H)			176,122.96
Approved "B" Certified Forwards	14,943.24	(H)			14,943.24
Approved "FCO" Certified Forwards		(H)			0.00
LESS: Other Accounts Payable (Nonoperating)	54,224.24	(I)			54,224.24
LESS: Adjustment: 353/711 Payable reduction		(J)	-1,325.62		-1,325.62
Unreserved Fund Balance, 07/01/13	850,994.10	(K)	1,325.62		852,319.72 **

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts Systems
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	22010200
	2261

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	361,458.46	(A)		361,458.46
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		-
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	361,458.46	(F)	0	361,458.46
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	246,861.72	(H)		246,861.72
Approved "B" Certified Forwards	7,920.00	(H)		7,920.00
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	168.88	(I)		168.88
LESS: _____		(J)		-
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/13	106,507.86	(K)	-	106,507.86 **

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Grants and Donations Trust Fund
LAS/PBS Fund Number:	22010200
	2339

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	17,356.44	(A)			17,356.44
ADD: Other Cash (See Instructions)		(B)			0.00
ADD: Investments		(C)			0.00
ADD: Outstanding Accounts Receivable		(D)			0.00
ADD: _____		(E)			0.00
Total Cash plus Accounts Receivable	17,356.44	(F)	0.00		17,356.44
LESS Allowances for Uncollectibles		(G)			0.00
LESS Approved "A" Certified Forwards		(H)			0.00
Approved "B" Certified Forwards		(H)			0.00
Approved "FCO" Certified Forwards		(H)			0.00
LESS: Other Accounts Payable (Nonoperating)	17,356.44	(I)			17,356.44
LESS: Adjustment: 353/711 Payable reduction		(J)			0.00
Unreserved Fund Balance, 07/01/13	0.00	(K)	0.00		0.00 **

Notes:

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** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

District Courts of Appeal Exhibits and Schedules

District Courts of Appeal Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	22100600
	2021

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	189,254.03	(A)		189,254.03
ADD: Other Cash (See Instructions)		(B)		0.00
ADD: Investments		(C)		0.00
ADD: Outstanding Accounts Receivable		(D)		0.00
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	189,254.03	(F)	0.00	189,254.03
LESS: Allowances for Uncollectibles		(G)		0.00
LESS: Approved "A" Certified Forwards	964.60	(H)		964.60
Approved "B" Certified Forwards	5,358.12	(H)		5,358.12
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)		(I)		0.00
LESS: _____		(J)		0.00
Unreserved Fund Balance, 07/01/13	182,931.31	(K)	0.00	182,931.31 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015 State Courts System
Trust Fund Title:	State Courts Revenue Trust Fund
Budget Entity:	22100600
LAS/PBS Fund Number:	2057

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	787,060.25	(A)		787,060.25
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	787,060.25	(F)	0	787,060.25
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	6,188.80	(H)		6,188.80
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS:		(J)		-
Unreserved Fund Balance, 07/01/13	780,871.45	(K)	-	780,871.45 **

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Grants and Donations Trust Fund
LAS/PBS Fund Number:	22100600
	2339

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	583.44	(A)			583.44
ADD: Other Cash (See Instructions)		(B)			0.00
ADD: Investments		(C)			0.00
ADD: Outstanding Accounts Receivable		(D)			0.00
ADD: _____		(E)			0.00
Total Cash plus Accounts Receivable	583.44	(F)	0.00		583.44
LESS Allowances for Uncollectibles		(G)			0.00
LESS Approved "A" Certified Forwards		(H)			0.00
Approved "B" Certified Forwards		(H)			0.00
Approved "FCO" Certified Forwards		(H)			0.00
LESS: Other Accounts Payable (Nonoperating)	583.44	(I)			583.44
LESS: Adjustment: 353/711 Payable reduction		(J)			0.00
Unreserved Fund Balance, 07/01/13	0.00	(K)	0.00		0.00 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Circuit Courts

Exhibits and Schedules

Circuit Courts

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	22300100
	2021

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,187,620.35	(A)		1,187,620.35
ADD: Other Cash (See Instructions)	11,182.94	(B)		11,182.94
ADD: Investments		(C)		0.00
ADD: Outstanding Accounts Receivable		(D)	1,581.00	1,581.00
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	1,198,803.29	(F)	1,581.00	1,200,384.29
LESS: Allowances for Uncollectibles		(G)		0.00
LESS: Approved "A" Certified Forwards	283,694.44	(H)		283,694.44
Approved "B" Certified Forwards	155,131.20	(H)		155,131.20
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)	18,092.15	(I)		18,092.15
LESS: _____		(J)		0.00
Unreserved Fund Balance, 07/01/13	741,885.50	(K)	1,581.00	743,466.50 **

Notes:

*SWFS = Statewide Financial Statement

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015 State Courts System
Trust Fund Title:	State Courts Revenue Trust Fund
Budget Entity:	22300100
LAS/PBS Fund Number:	2057

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,533,984.41	(A)		3,533,984.41
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	3,533,984.41	(F)	0	3,533,984.41
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	2,773,668.65	(H)		2,773,668.65
Approved "B" Certified Forwards	565,746.00	(H)		565,746.00
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS:		(J)		-
Unreserved Fund Balance, 07/01/13	194,569.76	(K)	-	194,569.76 **

Notes:

*SWFS = Statewide Financial Statement

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts Systems
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	22300100
	2261

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,881,452.53	(A)		1,881,452.53
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable	475,390.53	(D)		475,390.53
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	2,356,843.06	(F)	0	2,356,843.06
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	1,683,680.15	(H)		1,683,680.15
Approved "B" Certified Forwards	5,002.74	(H)		5,002.74
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	19584.96	(I)		19,584.96
LESS: Adjustment Due to State Funds 35200		(J)	954.67	954.67
LESS: Adjustment Due to State Funds 35200		(J)	(1,909.34)	(1,909.34)
Unreserved Fund Balance, 07/01/13	648,575.21	(K)	954.67	647,620.54 **

Notes:

*SWFS = Statewide Financial Statement

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	Grants and Donations Trust Fund
LAS/PBS Fund Number:	22300100
	2339

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	16,677.43	(A)			16,677.43
ADD: Other Cash (See Instructions)		(B)			0.00
ADD: Investments		(C)			0.00
ADD: Outstanding Accounts Receivable		(D)			0.00
ADD: _____		(E)			0.00
Total Cash plus Accounts Receivable	16,677.43	(F)	0.00		16,677.43
LESS Allowances for Uncollectibles		(G)			0.00
LESS Approved "A" Certified Forwards		(H)			0.00
Approved "B" Certified Forwards		(H)			0.00
Approved "FCO" Certified Forwards		(H)			0.00
LESS: Other Accounts Payable (Nonoperating)	16,677.43	(I)			16,677.43
LESS: Adjustment: 353/711 Payable reduction		(J)			0.00
Unreserved Fund Balance, 07/01/13	0.00	(K)	0.00		0.00 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

County Courts

Exhibits and Schedules

County Courts

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015 State Courts System
Trust Fund Title:	State Courts Revenue Trust Fund
Budget Entity:	22300200
LAS/PBS Fund Number:	2057

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	432,233.47	(A)		432,233.47
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	432,233.47	(F)	0	432,233.47
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	20,085.60	(H)		20,085.60
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS:		(J)		-
Unreserved Fund Balance, 07/01/13	412,147.87	(K)	-	412,147.87 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Judicial Qualification Commission

Exhibits and Schedules

Judicial Qualification Commission

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	State Courts System
Budget Entity:	State Courts Revenue Trust Fund
LAS/PBS Fund Number:	22350100
	2057

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	221,109.86	(A)		221,109.86
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	221,109.86	(F)	0	221,109.86
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		-
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS: Adjustment Payable GLC 35300		(J)	(145.68)	(145.68)
Unreserved Fund Balance, 07/01/13	221,109.86	(K)	145.68	221,255.54 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

**STATE COURTS SYSTEM
SCHEDULE IV-B
FOR
COURT REPORTING SERVICES**
For
Fiscal Year 2014-15








October 2013

OFFICE OF THE STATE COURTS ADMINISTRATOR

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: State Court System	Schedule IV-B Submission Date: October 2013
Project Name: Court Reporting Services (Digital Technology)	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2014-15 LBR Issue Code: 36341C0 and 36342C0	FY 2014-15 LBR Issue Title: Court Reporting Element
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Patty Harris, 410-1236, harrisp@flcourts.org and Alan Neubauer, 414-7741, neubauera@flcourts.org	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: Lisa Goodner	Date: 10/11/13
Agency Chief Information Officer (or equivalent):  Printed Name: Alan Neubauer	Date: 10-9-13
Budget Officer:  Printed Name: Dorothy Wilson	Date: 10/14/13
Planning Officer:  Printed Name: Blan Teagle	Date: 10-10-13
Project Sponsor:  Printed Name: Patty Harris & Alan Neubauer	Date: 10/8/13
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Patty Harris, (850) 410-1236, harrisp@flcourts.org
Cost Benefit Analysis:	Patty Harris, (850) 410-1236, harrisp@flcourts.org
Risk Analysis:	Patty Harris, (850) 410-1236, harrisp@flcourts.org
Technology Planning:	Alan Neubauer, (850) 414-7741, neubauera@flcourts.org
Project Planning:	Alan Neubauer and Patty Harris

General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4)(a)10, F.S. is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The revised Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency's Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

II. Schedule IV-B Business Case – Strategic Needs Assessment

A. Background and Strategic Needs Assessment

1. Business Need

Overview. Court reporting¹ is the process which creates and preserves a record of words spoken in court, and when necessary, provides their timely and accurate transcription in the event that an appeal is filed.

In FY 2011-2012 there were approximately 1.2 million trial court filings with associated proceedings that were required to be recorded at public expense (state funded). This includes filings for felonies, misdemeanors, criminal traffic, DUI, domestic violence, guardianship, Baker Act (mental health), Marchman Act (substance abuse), Jimmy Ryce, juvenile delinquency, juvenile dependency, and termination of parental rights. Civil non-due process cases are not required to be recorded using state funded court reporting services.

Associated State Costs. As of July 1, 2004, Revision 7 to Article V of the Florida Constitution became fully implemented and certain court costs, traditionally borne by the counties, became a state responsibility. Court reporting is one such cost. For FY 2012-13, \$26,061,255 was spent for recurring court reporting costs.

Prior to Revision 7 implementation, funding levels and services for court reporting varied significantly from county to county. No judicial circuit was alike in its delivery of court reporting services. Specifically, variations in service delivery models, staffing models, local market conditions, and geographic dispersion have provided significant challenges in managing court reporting services at the state level post-Revision 7.

Since the implementation of Revision 7, the judicial branch has made significant headway in establishing a more uniform, effective, and efficient delivery of court reporting services across all judicial circuits. Recently, two major supporting work products have been issued by Supreme Court to provide state-level guidance and support to the judicial circuits. On July 16, 2009, the Supreme Court issued an opinion (SC08-1658) and adopted several changes to the Rules of Judicial Administration and Florida Rules of Appellate Procedure to address certain technical issues related to the use of digital court reporting technology. The opinion may be found at: <http://www.floridasupremecourt.org/decisions/2009/sc08-1658.pdf>. On January 7, 2010, the Supreme Court issued AOSC10-1 which adopted several standards of operation and best practices proposed by the Commission on Trial Court Performance and Accountability on the overall effective and efficient management of court reporting services. This administrative order was recently updated on July 20, 2011 to address certain provisions related to producing copies of recordings. The new

¹The function of “court reporting” is frequently discussed in its two major components: the contemporaneous recording of words and events in a courtroom is referred to as “recording” and the subsequent conversion of the record into written text is referred to as “transcription.” The overall process is referred to as “court reporting.”

administrative order, AOSC11-22, may be found at:

(<http://www.floridasupremecourt.org/clerk/adminorders/2011/AOSC11-22.pdf>).

Customers. Court reporting serves a critical function in our judicial system because meaningful appellate review relies on an accurate record of what transpired at the trial court level. The transcript of the words spoken in open court is essential for the preparation of appeals by attorneys and is equally important for the court in reviewing the grounds for appeal. Transcripts or other media are used by attorneys, litigants, judges, court staff and the public to review events in court proceedings. This provides public accountability and facilitates due process through appellate review, affording the broader legal community, as well as litigants, the press, and the general public an important tool that assists with the independent evaluation of court proceedings.

Legal Necessity. In order to advance an appeal of a decision made in a court proceeding a party generally must provide to the appellate court relevant portions of the transcript. In most civil cases, it is the responsibility of the party making the appeal to have secured court reporting services. However, court reporting services are frequently provided at public expense pursuant to requirements that emanate from several sources, including state and federal constitutions, statutes, and court rules.

The United States Constitution and the Constitution of the State of Florida both provide rights to due process and equal protection. Court reporting is implicated in each of these protections in two distinct ways. First, due process in the federal system requires that appellate review be meaningful and complete when a state provides an appeal as a matter of right. The state system contains this same requirement of appellate review in Article V, Sections 3 and 4 of the Florida Constitution. *Delap v. State*, 350 So.2d 462 (Fla. 1977). Second, due process requires that when a state provides an indigent defendant with a lawyer on appeal, the lawyer must have the ability to fully represent his or her client. *Hoffman v. Haddock*, 695 So.2d 682 (Fla. 1997). If the lawyer needs a complete transcript to fully represent the indigent client on appeal, then a full transcript becomes an element of due process. *Jones v. State*, 780 So.2d 218 (Fla. 2d DCA 2001). In Florida, the Legislature has acknowledged that interests under litigation in some cases are so important that indigent litigants must be provided with court reporting and transcription on appeal to protect constitutionally afforded rights.

Service Delivery Models. The technology of what is today called court reporting has evolved through time and continues to change. Throughout most of the 20th century court reporting was conducted by reporters using stenographic machines. Today court reporting in Florida is provided through a combination of technologies. The following is a brief description of court reporting methods.

Stenography - The stenograph machine, introduced in 1913, essentially mechanized shorthand, or manual stenography. Using a stenograph machine, a stenographer presses a system of keys, which in turn creates a series of codes on a scrolling paper tape.

Computer-Aided Transcription - The emergence of small computers in the late 1970s and 1980s added new capabilities to stenography. Computer-aided transcription, or CAT, became possible when small computers were added to stenograph machines, allowing the keystrokes to be recorded on a disk or in the internal memory of the computer, as well as on the paper tape. This digitized file may then be translated into unedited text by the computer.

Real-Time Court Reporting - As computers became faster and more powerful, CAT systems became capable of translating digitized text contemporaneously, producing an unedited written document even as the proceeding occurs. The unedited text can be viewed immediately, and later corrected by the stenographer. The speed and quality of this type of system, is familiar to anyone who has followed the closed caption text of a live television program.

Analog Audio/Video Recording - The development of audio recording technology in the 20th century made it possible to directly capture and preserve the actual sounds of spoken words. By the 1960s, some courts were using tape recorders. The best technology at the time was magnetic/analog cassette recording. Cassette tape recorders are still used in Florida's trial courts today, most commonly in proceedings in which it is unlikely that a transcript will be requested. For analog cassette recording, the courtroom must be equipped with a cassette recorder and suitable microphones. Another more recent method for capturing the proceeding is analog video recording (i.e., VHS). For analog video recording, the courtroom may be equipped with microphones, cameras, and be wired for video recording either within the courtroom or from another location. Both forms of analog recording do not require the presence of a trained court reporter. While someone must operate the machine, including reloading, marking, and storing the tapes; the skills required are far less than those expected for a stenographer or digital court reporter. Analog recorders are often operated by personnel who have other duties in the courtroom, such as clerk staff, a bailiff, or even a judge or magistrate.

Voice Writing - Voice writing involves a court reporter speaking directly into a voice silencer, which is a hand-held mask containing a microphone. The court reporter repeats the words spoken in a proceeding into the mask which prevents the reporter from being heard. Voice writers record everything verbalized by judges, witnesses, attorneys, and other parties in a proceeding and may also record gestures and emotional reactions.

Digital Audio/Video Recording - The current state of the art technology for audio recording employs digital recording instead of analog tape. Digital court recording is the audio, and often video, recording of a court proceeding using digital technology that may be saved to a CD, DVD, network drive, or server. With most digital court recording technology, microphones are strategically placed in areas of a courtroom where judges, attorneys, parties, witnesses, and juries are located. Video cameras may also be placed in order to visually capture proceedings.

There are three basic types of digital audio/video recording technology. The first type

is a portable device such as a lap-top or hand-held device (MP3 player). These devices allow for recording in one location at a time and are typically operated by a digital court reporter, judge, or magistrate. The next type is a stand-alone system or workstation that is permanently located directly in a courtroom or hearing room. These systems are typically operated by a digital court reporter. The third type is a remote system in which the audio/video is recorded to a server and monitored by a digital court reporter from another room (control room) located on or off-site.

Digital court reporters perform several critical tasks when monitoring proceedings. They “tag” the case number, participant names, and key events of the proceeding. These “tags” are digitally saved with the recording and act as an index for playback and for creating the transcript. The digital court reporter also provides playback during a proceeding when directed to do so by the judge.

Every circuit in Florida currently uses both stenographic and digital court reporting service delivery models. Two circuits also use analog (cassette) recording. In FY 2011-12, 119,273 proceeding hours were recorded by stenography, 20,393 proceeding hours were recorded by real time court reporting, 424,508 proceeding hours were recorded using digital court reporting, and 90 proceeding hours were recorded using analog recording. A total of 564,262 proceeding hours were recorded, 75% or 424,508 of which was recorded using digital court reporting technology in Florida’s trial courts at state expense.

Staffing Models. Three types of staffing models exist for court reporting services: employee, contract, or hybrid.

Contract Model – Under this model, court reporters, whether employed by a firm or working individually, provide services on a fee basis. Hiring, firing, supervision, terms and conditions of employment and compensation are determined by contract and/or circuit administrative order. Contracts may be used for all court reporting service delivery models. The majority of circuits in Florida currently use contractual funding to cover a significant portion of court reporting services.

Employee Model – Under an entirely employee-operated system, all services are provided by court personnel. Such a model may be used for all service delivery models. Currently, no circuits in Florida use a pure employee model to provide court reporting services.

Hybrid Model – All judicial circuits combine features of the contract model and the employee model to provide services. For instance, a circuit may use employees for digital court reporting in some divisions of the court and contract with stenographers to record proceedings in other divisions. Alternatively, a circuit may use contract digital court reporters and employee stenographers.

It should be noted that in some counties, clerk of court staff are performing limited court reporting functions. The functions performed by clerk staff range from monitoring proceedings recorded using cassette tapes to operating digital recording

equipment and tagging recordings. These services are provided occasionally, on an as needed basis and free of charge.

Statement of Need. Appropriately applied, additional funds for court reporting technology and staffing will benefit the court system and the people of Florida in several ways.

Promoting Efficiency – Court reporting technology promotes efficiency by enabling court reporters to digitally access recordings from a court network and/or media disc for quick and easy review. This significantly reduces the time and cost of retrieving a copy of a court recording.

For stenography, CAT and real-time technology allows for stenographic codes to be translated into digitized text. This greatly improves efficiencies in creating transcripts which are necessary for purposes of appeal. Although, there are only a small percentage of cases appealed each year. For FY 2011-12, approximately 0.7% of trial court cases were appealed to the district courts. Given this small percentage, those requesting a transcript for reasons other than appeal may receive a digital audio copy of a proceeding instead. Doing so, requestors will not have to wait for a written document to be prepared before it is provided. Thus, access of digital audio court recordings reduces the need for written transcripts to be produced and improves the timeliness in which recordings may be accessed. Further, given the inexpensiveness of digital media, costs are further reduced for the consumer (who is charged per page for a transcript) as well as the State of Florida in producing transcripts.

In addition to lowering costs for transcript production, digital audio/video court reporting technology reduces staffing costs related to monitoring. Digital audio/video technology allows multiple courtrooms and courthouses to be monitored by digital court reporters from a central control room. In a central location, one digital court reporter is capable of monitoring up to four courtrooms simultaneously via a local or wide area network (using microphones and video cameras mounted in each courtroom). Digital court reporters are also less expensive and are becoming more widely available than stenographers. A digital court reporter minimum salary/benefits is approximately \$15,904 less annually than a lower level stenographer (Court Reporter I) and \$20,780 less than a higher level stenographer (Court Reporter II).

Improving Accessibility – Court reporting technology improves accessibility by increasing timeliness and providing ease in reviewing the events of a proceeding.

Transcripts produced from digitally stored stenographic notes are more readily available than those produced from traditional stenography. Digital audio/video recordings are saved and are almost immediately available for judicial officers, court staff, attorneys, and parties. For the media and the public, copies of these recordings are available after they have been reviewed and redacted by trained personnel to remove confidential information (e.g., social security numbers). Overall, the availability of digital copies reduces the lengthy wait time for receiving information

about what transpired in a court proceeding. Digital audio/video recordings of a proceeding are also searchable using “tags” created by a digital court reporter while monitoring a proceeding. These tags often include the case number, participant names, and key events of the proceeding. A tag index is automatically copied with the recording to give the user search capability.

Ensuring Quality – Court reporting digital technology ensures quality by allowing court proceedings to be securely recorded and stored. Currently, all circuits have incorporated digital technology as part of their service delivery model. However, one circuit is still using analog (cassette) recording to capture court proceedings. The Commission on Trial Court Performance and Accountability recommended both in 2005 and 2007 that analog (cassette) technology be replaced with digital recording technology. Digital audio quality is superior to analog in the same way music on a CD is clearer and crisper than a cassette tape. With analog tape, audio quality frequently suffers when there is excessive background noise or a witness or defendant does not speak clearly and loudly. Second, analog tapes, often reused a number of times, deteriorate in quality to a point where they may become practically inaudible. Third, digital systems use higher quality microphones and employ sound-enhancing techniques such as speaker-isolation, which allow the court reporter to screen out superfluous sounds, and utilize clean-up processes to filter out background noise. Fourth, digital recordings may be inexpensively stored to a server where the quality of the recording does not deteriorate, while analog tapes consume considerable storage space and are easily damaged. Perhaps most importantly, analog recording does not allow for tagging and thus does not provide the same benefits for playback and transcription.

Since Revision 7, the twenty judicial circuits have been working to accomplish four major goals as set forth by the TCP&A and as approved by the Florida Supreme Court. These goals are:

- Implement strategies designed to effectively and efficiently operate court reporting services.
- Operate as a full-service court by providing services using only state court system resources for all proceedings required to be recorded at public expense.
- Operate with digital technology that has the necessary components to accurately capture, maintain, and preserve the electronic record (per the *Standards for Integrated Digital Court Recording Technology* as updated by the TCBC’s Court Reporting Technology Workgroup in October 2008 provided in Appendix A).
- Operate within a reasonable and comparable cost.

In FY 2005-06, the Legislature appropriated 25 new court reporting FTE (out of the 50 FTE requested) in order to support the integration of digital technology. Further, because of significant need, the Legislature approved the release of 11 FTE from the

due process contingency fund. This was done not only to standardize and equalize the level of services provided across Florida, but in an effort to institute a cost-effective method for delivering these services.

In FY 2006-07, the Legislature appropriated 10 new court reporting FTE (out of the 22 FTE requested). New OCO funds were also appropriated to purchase and implement new digital technology in the amount of \$714,903.

In FY 2007-08, the Legislature did not fund additional FTE (33 FTE were requested). However, the Legislature fully funded the request for \$1,669,274 in new contractual funding. These funds were appropriated for direct service needs as well as equipment maintenance needs.

For FY 2008-09, the Legislature did not fund the trial court's request for 49 FTE, \$346,399 for direct services contractual funding, \$2,299,219 in non-recurring OCO funding for equipment purchases, \$240,290 in recurring funding for software purchases, and \$570,269 in recurring funding for equipment maintenance. In fact, during FY 2007-08 and FY 2008-09, due to budget reductions, a statewide total of 15.5 FTE and over \$1 million in contractual services and expense funding were eliminated.

In FY 2009-10, the Legislature did not fund the trial court's request for 33 FTE, \$364,780 for direct services contractual funding, \$2,949,607 in non-recurring OCO funding for equipment purchases, \$74,842 in non-recurring contracted services, \$150,000 in recurring (two years) contracted services, and \$332,426 in contractual funding for equipment maintenance.

In FY 2010-11, the Legislature did not fund the trial court's request for 64.5 FTE; \$6,909,583 in direct services contractual funding; \$4,312,305 in non-recurring OCO; \$743,436 in non-recurring expense; and \$218,280 in recurring maintenance contractual funding.

In FY 2011-12, the Legislature did not fund the court's request for courtroom expansion including \$862,803 OCO, \$407,119 non-recurring expense. The Legislature also did not fund maintenance/refresh costs of \$241,622 for recurring maintenance, \$3,172,874 OCO (refresh), and \$406,556 expense non-recurring (refresh).

In FY 2012-13, the Legislature did not fund the court's request for courtroom expansion of \$620,591 OCO and \$201,852 non-recurring expense. The Legislature also did not fund maintenance/refresh costs of \$233,014 for recurring maintenance, \$3,708,613 OCO (refresh), and \$212,691 expense non-recurring (refresh).

In FY 2013-14, the Legislature did not fund the court's request for courtroom expansion including \$364,960 OCO, \$156,900 non-recurring expense. The Legislature also did not fund the maintenance/refresh costs of \$303,238 for recurring maintenance and \$3,675,743 for OCO/expense.

For FY 2014-15, there is a need for additional funding for court reporting equipment to ensure the equitable, effective and efficient delivery of court reporting services across Florida's trial court system. An LBR has been filed based on the circuits' FY 2014-15 requests. This request is based on several of the digital equipment installed over the last several being in need of replacement. Additionally, it is the intent of the judicial branch to contain the costs associated with court reporting services not only at the present time, but also in the long-term.

For FY 2014-15, the trial courts request to file an LBR for:

Court Reporting Expansion

\$1,446,114 Other Data Processing Services (ODPS)

If funding for the above expansion request is approved, it is estimated \$105,240 in maintenance funding will be needed beginning in FY 2015-16 to support the on-going maintenance needs of this technology, due to the expiration of the initial one year warranty coverage.

Court Reporting Maintenance/Refresh of Existing Equipment

\$4,806,925 ODPS for FY 14-15

2. Business Objectives

The major business objectives for integrating court reporting technology in Florida's trial courts are to contain the overall cost of providing court reporting services (i.e., staffing, contractual, and transcript production costs); improve the efficiency with which court proceedings are recorded; improve the quality of audio recordings of court proceedings; and improve the timeliness of providing access to the record of court proceedings.

B. Baseline Analysis

1. Current Business Process(es)

The integration of digital court reporting technology in the trial courts will have a variable impact on business processes depending on the service delivery and staffing models currently in use by a circuit. Provided below is a general description of the *current* court reporting process requirements from a statewide perspective. It should be noted, the integration of digital technology in the trial court system began as early as ten years ago.

- a. Inputs - The major input of court reporting services are the proceedings that are required to be recorded. The resources expended are: court employees, contracted service providers, court reporting equipment, wiring and other accessories required to operate the equipment, and space within facilities in which to operate the equipment. The source of funding for all of these resources is the State Courts

System via the State of Florida with the exception of certain county obligated items such as wiring and other facility related resources. Court proceedings are recorded using stenographic machines operated by stenographers; tape recorders operated by various types of personnel; or digital technology operated by digital court reporters. Stakeholders of court proceedings that are recorded include judges, magistrates, court personnel, attorneys, and the parties of a case. With the accessibility of digital records via court networks there is a need for certain security measures to protect data integrity, right of access, and individual confidentiality when appropriate.

- b. Processing – When a recording of a proceeding is taken, it may never again need to be accessed unless a copy of the recording or a transcript is requested. However, all recordings must be stored. When stenographers record the events of a proceeding, the party responsible for storing the notes (whether the notes are on paper tape or other format) depends on whether the stenographer is a contracted service provider or an employee of the court. If the stenographer is an employee of the court, the notes are stored by the court. If the stenographer is contracted, the stenographer or firm employing the stenographer may maintain the notes. If a proceeding is recorded with a tape recorder or with digital technology, the recording is usually maintained by the court. It should be noted that regardless of who maintains the notes or recordings, the chief judge, in his or her official capacity, is the owner of all court reporting records produced at public expense pursuant to rule 2.535(d), Florida Rules of Judicial Administration.

When a proceeding has been recorded by a stenographer, an official hard-copy transcript is produced and edited before it may be provided to the requesting party. When a proceeding is audio/video recorded, a copy of the recording is provided through a cassette, CD, or DVD, as an alternative to the transcript. For FY 2011-2012, approximately 1,014,203 transcript pages and 23,634 media copies were produced statewide.

It is critical that all proceedings that must be recorded by law are covered in the most efficient manner possible. Thus, those proceedings with a high probability of a hard-copy transcript being requested (e.g., Capital Murder cases) are better suited to stenographic court reporting. However, most other case types do not have a high probability of needing a hard-copy transcript and are thus better suited to digital court reporting (which costs less operationally). As previously mentioned, the use of digital audio/video technology is preferable to analog tape recording. Further, the time between the court proceeding and a copy of record becoming available to stakeholders and the time between a copy of the record being requested and the record actually being provided to stakeholders is greatly reduced for digitally recorded proceedings. Overall, court reporting services are considered to be successfully provided if all proceedings that are legally required to be recorded are covered; if access to the record is provided in the most timely manner possible; if the record is of the highest quality possible, and if all court reporting services are provided in the most efficient manner possible.

Over the last several years, court reporting services in Florida's trial courts have evolved in light of the technological advancements in the court reporting industry. Most circuits have now incorporated CAT and/or real-time stenography as a part of stenography service delivery model. As early as ten years ago, circuits began integrating digital audio/video technology as part of a blended service delivery model. Today, all twenty judicial circuits have incorporated digital audio/video equipment into their process. Usually, digital audio/video court reporting is implemented in one division of court in order to allow time for educating and training stakeholders such as judges, court personnel, state attorneys and public defenders and for testing the process. Once the process is perfected in one division of court, the use of digital audio/video technology is expanded to other divisions. Today, all twenty judicial circuits have implemented digital court reporting technology to varying degrees.

- c. Outputs- The outputs for court reporting services are: 1) the coverage provided to record proceedings and 2) the record of the proceeding whether in the form of a hard-copy transcript or audio/video recording stored on a server, network drive, cassette, CD, or DVD. Stakeholders of the court reporting process are judges, magistrates, court personnel, attorneys, the parties of a case, and the public at large. Judges or magistrates presiding over a case may need to review the record of a proceeding when deliberating a ruling. Court personnel need access in order to manage and maintain court records. State attorneys, public defenders, private attorneys and the parties to a case need access to the record in order to review the proceeding for purposes of appeal.
- d. Business Process Interfaces- Another business process that interfaces with the court reporting process is the docketing or scheduling of proceedings. To ensure necessary coverage for the proceedings that are required to be recorded, court reporting managers coordinate with clerk of court staff, judicial assistants, and case managers who are responsible for scheduling hearings.
- e. Business Process Participants- Florida has 322 county court judges, 599 circuit court judges, 61 district court of appeal judges, and 7 Supreme Court justices who regularly use transcripts from in-court proceedings. In addition, there are potentially tens of thousands of other users such as court personnel, attorneys, parties to a case, the media, and others who regularly use transcripts or recordings of in-court proceedings. In Fiscal Year 2012-13 there were 24,861 total cases filed in the district courts of appeal. Most of these cases required a transcript in order to file the appeal. The balance of cases filed with the Supreme Court come with a transcript from the lower tribunal.

The roles and responsibilities of court reporting stakeholders vary. Trial court judges examine the record to review witness testimony and appeals from county to circuit court. Intermediate appellate judges review the record from lower tribunals. Supreme Court justices review the record in many types of appellate cases including death penalty cases. Appellate lawyers use the record to review witness testimony, judicial decisions from lower courts, and to prepare appellate

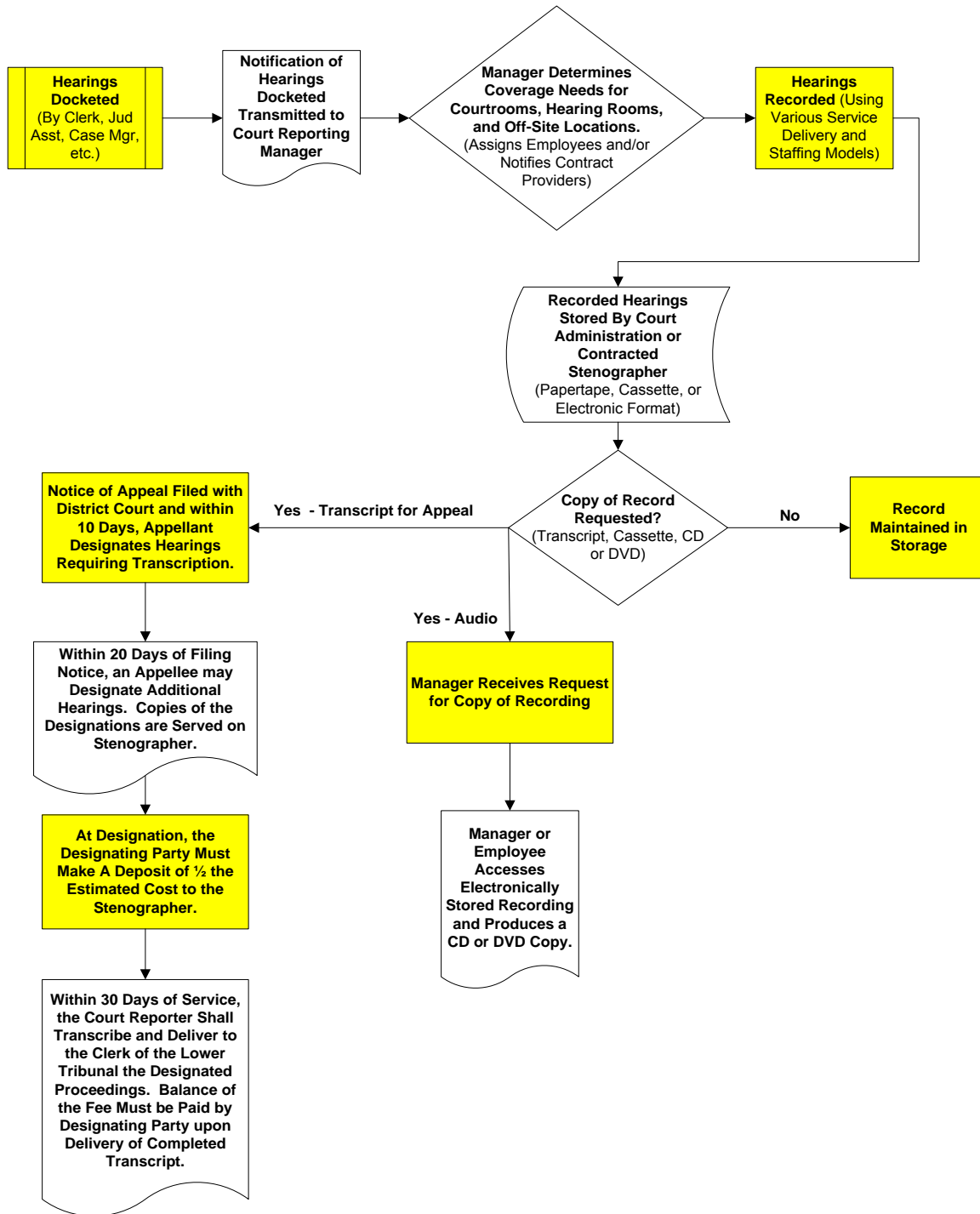
briefs. The media and public use the record to review witness testimony and judicial decisions made by trial court judges, particularly in high-profile cases.

Court reporting managers, regardless of the model employed, monitor in-court time spent by reporters versus demands for copies of the record. They are obligated to ensure coverage and the timely production of transcripts or copies of recordings. Managers must ensure that when court reporters are not in-court, they are producing transcripts or copies of recordings.

Stakeholder participants can initiate change to the system by conferring with the court reporting manager, trial court administrator, or chief judge. However, the need for coverage of all in-court proceedings required to be recorded at public expense cannot be compromised. Change may occur with respect to the type of service delivery or staffing model employed, the individual(s) assigned, the transcription method, and determinations of when court reporters should be monitoring proceedings versus producing transcripts or copies of recordings.

f. Process Mapping-

Circuit Level Court Reporting Process Map



2. Assumptions and Constraints

Digital court reporting technology is now institutionalized after garnering an increasing level of judicial branch support over the last decade. This includes the state level support of Supreme Court appointed commissions such as the Commission on Trial Court Performance and Accountability, the Trial Court Budget Commission, and the Florida Courts Technology Commission.

While the trial courts maintain a certain level of flexibility locally in utilizing various types of court reporting service delivery and staffing models, it appears that digital audio/video technology, in particular, is now at the forefront of the court reporting industry. Several major governmental entities throughout the United States use this technology including the majority of other state court systems and even the Federal District Courts in Washington D.C. The Florida Senate and House of Representatives have also used this technology for several years. Furthermore, there are a diminishing number of stenographers and stenographic firms willing to contract with Florida courts. This has coincided with the evolution of more technologically advanced and less expensive court reporting methods. While stenography will continue to play an important role in Florida's trial courts, that role is also likely to become limited to those cases with a high probability of a written transcript being requested.

With the onset of digital recording technology, Supreme Court appointed commissions along with the Office of the State Courts Administrator are working with the trial courts and other stakeholders to provide assistance in utilizing digital technology. The Florida Courts Technology Commission created *Technical and Functional Standards for Digital Court Recording* which was recently updated in October 2008 (see Appendix A) and the Commission on Trial Court Performance and Accountability developed a *Statewide Plan for the Effective Use and Management of Court Reporting Services* in February 2005. As circuits began to purchase and install new digital systems, each judicial circuit was asked by the Trial Court Budget Commission to complete and maintain a *Due Process Technology Inventory*. This inventory captures data elements such as equipment type, equipment location, purchase date and total cost so as to obtain information on court reporting technology components used in each courtroom and hearing room across the state. The information collected is then reviewed by the Trial Court Budget Commission to assist in making decisions regarding court reporting equipment funding allocations. Additionally, outputs from these inventories are tabulated by the Office of the State Courts Administrator under the direction of the Commission on Trial Court Performance and Accountability to the develop resource tools such as the *Court Reporting Services Circuit Profiles, February 2008* (see Appendix E). Due to the varying local court reporting service delivery and staffing models, these profiles provide court managers and decision-makers with information on court reporting services across the state. As a result, interested parties are able to have convenient access to circuits' fiscal allotments, staffing models, service delivery models, digital logistics, measurable workload outputs, contractual rates as well as information on digital central/remote monitoring networks.

In October 2007, the Commission on Trial Court Performance and Accountability submitted the final report, *Recommendations for the Provision of Court Reporting Services in Florida's Trial Courts* to the Supreme Court. The report includes proposed changes to court rules and statutes as well as new operational best practices and standards. On July 16, 2009, the Supreme Court issued an opinion (SC08-1658) approving amendments to the Rules of Judicial Administration and the Rules of Appellate Procedure in response to the recommendations of the Commission on Trial Court Performance and Accountability.

The opinion may be found at:

<http://www.floridasupremecourt.org/decisions/2009/sc08-1658.pdf>.

Rule changes included the following:

- Added or modified definitions for approved court reporter, approved transcriptionist, civil court reporter, court reporting, electronic record, and official record;
- Provided clarification on the “ownership of records;”
- Provided clarification as to who qualifies as “officers of the court;”
- Provided clarification of court reporting services delivered at public expense;
- Added a new section on safeguarding confidential communications when electronic recording equipment is used in the courtroom; and
- Clarified the definition of the “official record.”

It is also important to note that the Supreme Court recognized that digital recordings of court proceedings are now widely used throughout the state by those involved in the court system and have proven to be useful, reliable, and cost effective. They noted that access to these recordings should not be denied.

With the release of the Supreme Court’s opinion (SC08-1658), the TCP&A issued a supplemental report recommending modifications to some of the standards of operation and best practices originally submitted in October 2007. This was completed in an effort to ensure consistency with the new rules and to also take into consideration input received from the Trial Court Budget Commission over the last few years. On January 7, 2010, the Supreme Court issued AOSC10-1 which adopted the standards of operation and best practices proposed by the TCP&A in both the October 2007 report and as revised in the November 2009 report. Recently, in July 2011, the Supreme Court updated some of the policies contained in AOSC10-1. Upon doing so, a new administrative order, AOSC11-22, was issued. This administrative order may be found at:

<http://www.floridasupremecourt.org/clerk/adminorders/2011/AOSC11-22.pdf>).

In December 2008, the Trial Court Budget Commission approved several technical and budgetary policy recommendations on court reporting technology (see Appendix B). These policy recommendations were developed by the Trial Court Budget Commission's court reporting technology workgroup to assist the trial courts in the establishment of a long-term plan for continued court reporting equipment expansion. Recommendations included: establishing a reasonable standard cost per courtroom/hearing room; the most cost effective use of court reporting technology; the most cost effective and operationally sound method for maintaining court reporting systems; approving an expanded list of qualified vendors; establishment of criteria and a procedural process for changing vendors; establishing a process for hardware and software transfers; replacement of analog tape recorders; contingency planning and funding; and a life-cycle management plan for court reporting technology which includes time standards aimed at defining refresh parameters.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

As previously detailed in the Statement of Need, the integration of digital court reporting technology in the trial courts must promote efficiency, improve accessibility, and ensure the quality of court reporting services.

2. Business Solution Alternatives

There are two major options available to the State Courts System for court reporting services in the trial courts: (1) halt both continued enhancement and refresh of the existing court reporting systems or (2) continue enhancement and refresh of the existing system in line with local circuit court reporting plans. These options are discussed below.

Option One – Currently, all twenty judicial circuits utilize digital court reporting technology. They have already invested a great deal of time and effort to accomplish the previously mentioned four major goals as set forth by the Commission on Trial Court Performance and Accountability. They have also invested a significant amount of funding towards these goals.

If the existing systems are not properly maintained or if future enhancements are not implemented, this will equate to systems that are only partially capable of realizing the benefits discussed previously. Also, system failures of existing installed digital components could impair the trial courts in their ability to provide court reporting services. In such cases, the trial courts may be forced to delay court proceedings and/or hire additional stenographic court reporters to provide court reporting coverage. Aside from allowing the inherent inequities in the level of service provided across circuits to continue, halting the integration and maintenance/refresh of this technology could cause court reporting costs to escalate at a much greater rate for the State of Florida than if digital technology was integrated and maintained at its optimal functionality.

Option Two – Continuing with the enhancement and refresh of the existing system builds upon the vast amount of time and funding already invested by the trial courts.

When this technology is fully implemented and maintained as set forth by the Florida Courts Technology Commission, the Commission on Trial Court Performance and Accountability, the Trial Court Budget Commission, and the Supreme Court, the trial court system as a whole will be better able to contain court reporting costs (staffing, contractual, and transcript production); the efficiency of the court reporting process will be improved; the record of the court proceeding will be more accessible and provided in a more timely manner; and the quality of recordings will be greatly improved.

3. Rationale for Selection

The criteria used to compare the options are the same as the effectiveness measures for the project, as noted previously. Consideration was given to the option that best promotes efficiency, improves accessibility, and ensures quality for court reporting services in the trial courts. These criteria are in line with policy decisions of the Florida Courts Technology Commission, Commission on Trial Court Performance and Accountability and the Trial Court Budget Commission.

4. Recommended Business Solution

Continuing enhancement and refresh of digital court reporting technology was selected as the recommended option. As already discussed, a significant amount of time and funding has already been invested in this business solution by the trial courts. When this technology is fully implemented per each circuit's court reporting plan, the trial court system as a whole will be better able to contain court reporting costs (staffing, contractual, and transcript production); the efficiency of the court reporting process will be improved; the record of the court proceeding will be more accessible and provided in a more timely manner; and the quality of audio recordings will be greatly improved.

D. Functional and Technical Requirements

In February 2005, a report entitled, *Statewide Plan for the Effective Use and Management of Court Reporting Services*, was approved to be implemented by the trial courts post-Revision 7. Several goals and objectives were laid out for the trial courts including that digital recording capacity will exist in all courtrooms utilized for cases in which recording is required at public expense and that all digital recording systems will comply with the *Technical and Functional Standards for Digital Court Recording* (see Appendix A) which was last updated by the Court Reporting Technology Workgroup in October 2008.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Contain the overall cost of providing court reporting services (i.e., staffing, contractual, and transcript production costs)	<ul style="list-style-type: none"> -Standard cost per proceeding, transcript page, and media copy. -Number of transcripts/pages requested verses total proceedings recorded -Number of media requested verses total proceedings recorded 	Judges, State Attorneys, Public Defenders, Conflict Counsel, members of the Private Bar, Pro Se Litigants, and Parties to a Case	Varies by Circuit
2	Improve the efficiency with which court proceedings are recorded	<ul style="list-style-type: none"> -Number of proceedings/hours recorded by stenographers -Number of proceedings/hours recorded by digital court reporters -Ratio of court reporting staff to applicable proceedings 	Judges, State Attorneys, Public Defenders, Conflict Counsel, members of the Private Bar, Pro Se Litigants, and Parties to a Case	Varies by Circuit
3	Improve the timeliness of providing access to the record of court proceedings	<ul style="list-style-type: none"> -Time from court proceeding to copy of record available to stakeholders -Time from copy of record requested to record provided to stakeholders 	Judges, State Attorneys, Public Defenders, Conflict Counsel, members of the Private Bar, Pro Se Litigants, and Parties to a Case	Varies by Circuit

4	Improve the quality of audio recordings of court proceedings	-Number of proceedings/hours covered with digital technology verses analog tape recording	Judges, State Attorneys, Public Defenders, Conflict Counsel, members of the Private Bar, Pro Se Litigants, and Parties to a Case	Varies by Circuit
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IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis

A. Benefits Realization Table

	Benefit Description	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?¹	Realization Date²
Cost Containment						
1	Expands coverage of proceedings	Tangible	public at large, taxpayers, trial courts	Multiple courtrooms, courthouses, and counties may be monitored from a central control room.	Examining the # of proceedings/hours recorded digitally by case type.	Varies by Circuit
2	Reduces staffing and contractual costs	Tangible	public at large, taxpayers, trial courts	Digital court reporters are capable of monitoring multiple proceedings simultaneously and are less expensive than stenographers.	Examining funding ceiling, staffing and contractual costs, and the ratio of staff to applicable proceedings.	Varies by Circuit
3	Reduces the need for transcription	Tangible	public at large, taxpayers, trial courts	Increased availability of digital recordings reduces need for written transcripts.	Examining # of transcripts/pages and electronic media requested. Examining staffing costs for transcript production.	Varies by Circuit
4	Reduces cost of record storage	Tangible	public at large, taxpayers, trial courts	Digital recordings are stored electronically verses hard-copy documents stored in a physical file.	Examining cost and amount of space for storage of records.	Varies by Circuit
Improves Accessibility to the Record						

5	Increases timeliness in providing copies of the record	Intangible	public at large, parties to a case, attorneys, media, court staff, judges	Copies of digital audio/video recordings are available in a more timely manner versus waiting for a written transcript to be produced.	Examining time from court proceeding to copy of record available and time from copy requested until provided.	Varies by Circuit
6	Improves accessibility to copies of the record	Intangible	public at large, parties to a case, attorneys, media, court staff, judges	Digital recordings may be saved electronically on a secure network that is easily searchable and allows files to be easily copied to CD or DVD.	Examining the # of proceedings/hours recorded digitally verses other methods.	Varies by Circuit
7	Gives the user automated search capability	Intangible	public at large, parties to a case, attorneys, media, court staff, judges	Copies of digital audio/video recordings are searchable using "tags" created by the digital court reporter.	Examining the # of proceedings/hours recorded digitally verses other methods.	Varies by Circuit
Ensures the Quality of the Record						
8	Provides superior recording and sound quality	Intangible	public at large, parties to a case, attorneys, media, court staff, judges	Digital audio/video technology records more clearly than analog through sound enhancement, speaker isolation, and noise screening capabilities.	Examining the # of proceedings/hours recorded digitally verses other methods.	Varies by Circuit
9	Greatly reduces deterioration of the record in storage	Intangible	public at large, parties to a case, attorneys, media, court staff, judges	Digital recordings are electronically stored verses cassette tapes or hard-copy documents.	Examining the # of proceedings/hours recorded digitally verses other methods.	Varies by Circuit

¹Currently, the State Courts System does not have necessary data to evaluate all of these measures.
²Many of the benefits of digital technology are already being realized as this technology has been implemented to some degree in every judicial circuit. The realization date will vary by circuit depending on when new digital equipment is installed.

B. Cost Benefit Analysis (CBA)

1. The Cost-Benefit Analysis Forms

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

As depicted in Appendix C, a cost-benefit analysis (CBA) was performed on the trial court's FY 2014-15 total funding request of \$6,170,996 for court reporting technology.

Results from this analysis indicate the net present value (see CBA Form 3) of \$45,736,063. The payback period is estimated to be less than 1 year with a cumulative return on investment over the next five years of \$51,776,185.

These tangible cost benefits are attributed to avoiding costs associated with higher staffing levels necessary to provide court reporting services. For the FY 2010-11 LBR, 64.5 FTE were requested (20.0 FTE stenographers; 31.5 FTE digital court reporters; and 13.0 FTE managerial/administrative support positions). Although, the State Courts System did not file a FY 2014-15 LBR for staffing resources, the cost benefit analysis contemplates unfunded staffing needs as filed in the FY 2010-11 LBR.

It is estimated that *with* the purchase of \$6,170,996 in court reporting technology during FY 2014-15 (\$1,415,726 for the expanded use of digital technology and \$4,860,690 to maintain/refresh existing digital technology), the State Courts System will avoid certain staffing costs related to hiring 161.0 FTE stenographers and reclassifying an existing 187.0 FTE digital court reporters to stenographers.

Cost avoidance estimates are based on the following:

- A ratio of two stenographer positions for every one digital court reporter. This ratio is used to calculate staffing level differences between a stenographic model versus a digital court reporting model. Under a digital court reporting model, digital court reporters may monitor up to four courtrooms/hearing rooms simultaneously while under a stenography model, a stenographer is only able to cover one courtroom/hearing room at a time. Therefore, funding of the *expansion* request would equate to a cost avoidance of \$2,648,457 associated with the hiring of 63.0 FTE stenographers (as opposed to 31.5 FTE digital court reporters as implicated under a digital court reporting model and as requested in FY 2010-11).
- A ratio of one stenographer position for every one courtroom/hearing room. This ratio is used to determine the staffing impact of the \$4,474,687 *refresh* technology request. It is estimated a total of 432 rooms are in need of *refresh* technology. Without this *refresh* funding, existing digital technology in these rooms could fail resulting in the need for stenographers to cover these rooms. Therefore, based on a conservative estimate, 285 rooms would be in use at any one time. Based on a ratio of one stenographer needed for each room, 187.0 FTE existing digital court reporter positions would need to be reclassified to stenographers in order to cover these rooms. Also, an additional 98.0 FTE stenographers would be needed. This equates to a cost avoidance of \$9,751,042 in recurring salaries/benefits/expenses.

{Note: The cost of the positions in this analysis is based on estimated recurring salaries, benefits, and expenses of \$50,114 per digital court reporter position versus \$64,387 per court reporter I position and \$69,805 per court reporter II position. Also, a 3% cost of living adjustment was added consecutively each fiscal year.}

In conclusion, the State Courts System believes the expansion of digital technology will contain future court reporting costs for the State of Florida. Further, refresh of digital technology will continue to protect the investment previously made by the State of Florida. As depicted in the cost benefit analysis, the purchase of court reporting technology enables the trial courts to avoid certain staffing costs. Digital court reporters, as opposed to stenographers, are able to monitor multiple proceedings simultaneously, increasing the ability to cover proceedings. Thus, as the number of proceedings increase, the State Courts System will be in a better position to absorb the additional workload.

In addition to these tangible benefits, there are also several intangible benefits associated with all court reporting digital technology (CAT, real-time stenography, and digital audio/video) that improve the provision of court reporting services. These are provided in the benefits realization table.

V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary

See attached spreadsheet in Appendix D.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. *Description of current system*

As mentioned previously, court reporting technology includes both stenographic and digital audio/video court recording services.

With stenography, there are two major types of technology deployments used in the twenty judicial circuits. The first type involves CAT (Computer-Aided Transcription). This service delivery model type requires a digital computer device such as a desktop, lap-top, or digital stenography machine to enable the stenographer to record and store notes directly to a network drive or digital media disc. The digitized file may then be translated to readable text for transcription purposes. The second type of stenographic technology involves real-time transcription. This model requires two or more networked digital computer devices such as desktops and/or lap-tops to enable multiple participants of a court proceeding to view (live) an unedited version of the transcript as the stenographer records a court proceeding.

With digital audio/video recording services, there are three major dominant types of digital technology deployments in use in each of the twenty judicial circuits. The first type is a portable device such as a lap-top or hand-held device (MP3 player). Portable devices allow for recording in one location at a time and are typically operated by a digital court reporter, judge, or magistrate. The next type of digital audio/video recording technology is stationary to a particular location and operates as a stand-alone system or workstation. Generally, standalone recording systems are permanently located in a courtroom or hearing room and are typically operated by a digital court reporter. The third type is a more complex arrangement of network based technology components in which the audio/video is recorded to a collection of integrated servers and monitored by a digital court reporter from a central control room located on or off-site.

Portable and desktop based systems involve local monitoring from a direct connection in a courtroom (stand-alone system). Stand-alone systems may be portable, such as a lap-top or hand-held device (MP3 player), or they may be stationary such as a desk-top computer. A digital court reporter may be required in the courtroom to operate the system. The reporter tags the recording, logs speakers, makes notations of who is present, and notes certain non-verbal events. The reporter also oversees sound quality and provides playback when directed to do so by the judge. In settings such as hearing rooms, judges' chambers, or off-site locations, a digital court reporter may not be required as the judge or magistrate may operate the system on their own.

Integrated digital audio/video court recording solutions are comprised of network-enabled devices that may be centrally monitored from any network-enabled device that is located within a local or remote courthouse location. Typically, control rooms are found in larger courthouses. In a control room, one digital court reporter monitors several

courtrooms at one time. The reporter, most often, views the proceedings via video cameras mounted in each courtroom and the judge may give directions to the control room over a microphone or by telephone. This method may involve the remote monitoring several different courtrooms in several different courthouses from an off-site location.

b. Current system resource requirements

Digital court recording technology is comprised of many different configurations and types, including analog and digital components. The components can be grouped into four discrete categories to clearly delineate complex funding obligations. Listed below is a reference that can be used to budget technology specific to each circuit's needs.

- 1) Software. The software category provides coverage for all software that operates on both server and client workstation devices that is responsible for managing the capture, process and storage of the spoken word and video image of a court proceeding.
 - a. Digital Court Recording Software
 - b. Word Processing Software
 - c. Microsoft Windows Operating System
 - d. Anti-virus Protection
 - e. Archive Storage
 - f. Utility Tools

- 2) Digital Computer Hardware. The digital computer hardware category provides coverage of all digital component technologies necessary to operate and maintain the digital court recording software. Primary emphasis is placed on software driven devices including servers for encoding and archiving the record and monitoring workstations dedicated to operate digital court recording technology.
 - a. Encoding Servers
 - b. Archive Servers
 - c. Monitoring Workstations
 - d. Digital Audio Adapters
 - e. Tape Backup Units

- 3) Media Related Hardware and Embedded Devices. This category provides coverage of all equipment necessary to adapt the audible and visual analog proceeding with modern digital recording technology. This includes peripherals representing a wide range of technology equipment. Some equipment may include embedded digital technology.
 - a. Condensing Microphones and Bases
 - b. Audio and Video Mixers
 - c. High Resolution Video Cameras
 - d. Bench Control Pads
 - e. Splitters, Filters and other Line Level Equipment
 - f. Visual and Audible Monitoring Devices

- g. Printers
 - h. Video Appliances
 - i. Steno Machines
 - j. Tape Recorders
- 4) Infrastructure. The infrastructure category contains elements necessary to interconnect and operate an integrated digital court recording system. Elements commonly found are data and telecommunications equipment, wiring for audio, video and data networks, and equipment racks.
- a. Any Communications Equipment Supporting Monitoring of Court Proceedings
 - b. Uninterruptible Power Supply and Power Conditioning
 - c. Furniture and Equipment Racks
 - d. Cable for Capturing Audio and Monitoring of Court Proceeding
- c. *Current system performance*

As described by the *Technical and Functional Standards for Digital Court Recording* (See Appendix A), the application of court recording technology is required to provide a minimum level of functionality necessary to successfully operate and manage the capture of court proceedings.

2. Information Technology Standards

The technical requirements that describe the use of integrated technology throughout the state courts system are recognized in a standards and guidelines format known as the *Integration and Interoperability Document*. To ensure a uniform baseline for adequate coverage of court proceedings throughout the judicial branch, each of these documents was developed by consensus and maintained by active participation in the trial courts and approved by the Florida Courts Technology Commission.

The document on integration and interoperability is a living document, last updated May 2011. A copy of the document can be located at the Florida Supreme Court Web Site using the following URL:

http://www.flcourts.org/gen_public/technology/Integration%20&%20Interoperability%20May%202011%20version%202.1.pdf

B. Current Hardware and/or Software Inventory

As circuits began to purchase and install new digital systems, each judicial circuit was asked by the Trial Court Budget Commission to complete and maintain a Due Process Technology Inventory. This inventory captures data elements such as equipment type, equipment location, purchase date and total cost so as to obtain information on court reporting technology components used in each courtroom and hearing room across the state. A summary of the circuits Due Process Technology is attached as Appendix E.

C. Proposed Solution Description

Over the past several years, circuit courts have used digital court reporting technology to contain increasing costs of court reporting. As directed in the recent amendment of Article V, Revision 7 of the Florida Constitution, the State Courts System has embarked on a review of major expenses of the state trial courts, including court reporting.

To help contain the costs of court reporting expenses, specifications for an integrated digital audio/video court recording system were adopted to meet the State Courts System's needs for operating and managing the capture of court proceedings. As a result, the Office of the State Courts Administrator has established technical and functional standards to demonstrate a minimum level of proficiency of the utilization of technology to remotely operate and monitor the capture of the audio/ video record of court proceedings.

Integrated digital audio/video court recording solutions are designed to introduce distributed recording technology to courtrooms among each of the twenty judicial circuits and integrate each of the digital audio/video court recording systems seamlessly into the State Courts System's wide area network. At a minimum, the business requirements for supporting the audio/video court recording solution include the ability to:

1. Produce a quality recording.
2. Automate processes of digital court recording.
3. Preserve the integrity of the record.
4. Provide attachment support.
5. Provide search and access for recordings.

In order to fulfill the requirements of the integrated digital audio/video court recording solutions; the necessary business objectives, description of participating courtrooms, and technical vision for the courts strategic plan is considered. This will ensure the best allocation of current resources and maximize court participation.

1. Summary description of proposed system

The primary intent of court reporting technology solutions is to accurately capture court proceedings using stenography or a distributed digital audio/video court recording system.

The integrated digital audio/video recording system is set up in a series of repositories encompassing many courtrooms that are accessible from the State Courts System's network. This configuration will provide for ease of administration and disaster recovery preparations which can be managed from a centralized or remote location.

There are two basic models for the operation of the audio/video recording systems. The courtroom model requires a digital court reporter in the courtroom to operate the system. The digital court reporter logs speakers, makes notations of who is present and notes certain non-verbal events, monitors sound quality, and provides playback when directed to do so by the judge.

The second model is a control-room model, in which the court reporting function is performed in a central control-room. In a control-room model, one digital court reporter monitors several courtrooms at one time. The digital court reporter views the courtrooms via video cameras mounted in each courtroom. The judge can give directions to the control room over a microphone or by telephone. The control-room model requires more equipment, specifically video cameras and monitors, and requires greater awareness by the judge and coordination between the judge and the digital court reporter

2. Resource and summary level funding requirements for proposed solution (if known)

The projected budget is identified in the Statement of Need. As noted previously, a Court Reporting Technology Workgroup was established by the Trial Court Budget Commission to develop budgetary policies on the future expansion of court reporting technology. As approved by the Trial Court Budget Commission in December 2008, the workgroup developed five expansion cost models to assist the trial courts as they continue to expand court reporting technology. The details and cost breakdowns for each court reporting technology model are as follows:

Integrated Digital Audio/Video Courtroom Large/Ceremonial (maximum room capacity of 100 persons or more): \$26,055

State Costs		
Software Licenses – Server & Client	6-8 channels of recording	\$12,000
Video Camera for central room monitoring/and video recording	4 cameras IP based	\$4,800
UPS for recording equipment – recording room	Battery backup and line conditioning	\$600
Digital encoding	Video and audio encoders	\$3,400
Prorated backend server storage and services Ratio 1 server for 6 rooms ¹	Dedicated primary and secondary server costs at 17%	\$3,655
Monitoring Workstation	May be local or centralized	\$1,600
Subtotal		\$26,055
County Costs		
Microphones	10 microphones: judge, witness, sidebar, podium/table 1, podium/table 2, jury, clerk, well area	\$6,800
Audio Mixer	Modular style matrix mixer	\$7,000
Wiring	Audio/network/power (13 drops at \$200 each)	\$2,600
Installation and Configuration of a/v equipment and software	Contract dollars	\$2,000
Amplifier		\$1,200
Subtotal		\$19,600
Total Cost		\$45,655

¹ Prorated server costs are based on the total estimated cost of \$21,500 multiplied by .17 (approximate 1:6 ratio). Total estimated cost (\$21,500) is based on the following setup: Primary Server, Secondary Backup Server, Video Server, and Archiving Server.

3.

Integrated Digital Audio/Video Courtroom Small to Midsize (maximum room capacity of less than 100 persons): \$19,955

State Costs		
Software Licenses – Server & Client	4 channels of recording	\$9,000
Video Camera for central room monitoring/and video recording	2 cameras IP based	\$2,400
UPS for recording equipment – recording room	Battery backup and line conditioning	\$300
Digital encoding	Video and audio encoders	\$3,000
Prorated backend server storage and services Ratio 1 server for 6 rooms ¹	Dedicated primary and secondary server costs at 17%	\$3,655
Monitoring Workstation	May be local or centralized	\$1,600
Subtotal		\$19,955
County Costs		
Microphones	8 microphones: judge, witness, sidebar, podium/table 1, podium/table 2, jury	\$3,800
Audio Mixer	Modular style matrix mixer with bench control	\$7,000
Wiring	Audio/network/power (10 drops at \$200 each)	\$2,000
Installation and Configuration of a/v equipment and software	Contract dollars	\$1,500
Amplifier		\$1,200
Subtotal		\$15,500
Total Cost		\$35,455

¹ Prorated server costs are based on the total estimated cost of \$21,500 multiplied by .17 (approximate 1:6 ratio). Total estimated cost (\$21,500) is based on the following setup: Primary Server, Secondary Backup Server, Video Server, and Archiving Server.

Integrated Digital Audio/Video Hearing Room (room may be part of a centralized system directly recording to a server, or have a networked PC or laptop that automatically uploads the recordings to a central repository): **\$16,705**

State Costs		
2 channel recording software		\$9,000
2 channel mixer		\$1,000
2 microphones		\$850
1 Video camera		\$1,200
Installation Costs		\$1,000
Prorated backend server storage and services Ratio 1 server for 6 rooms ¹	Dedicated primary and secondary server costs at 17%	\$3,655
Subtotal		\$16,705
County Costs		
Wiring	A/V, Network drops	\$600
Subtotal		\$600
Total		\$17,305

¹ Prorated server costs are based on the total estimated cost of \$21,500 multiplied by .17 (approximate 1:6 ratio). Total estimated cost (\$21,500) is based on the following setup: Primary Server, Secondary Backup Server, Video Server, and Archiving Server.

Standalone Digital Audio/Video Hearing Room (room records locally with a PC or laptop that may or may not be attached to the network for upload of data at a designated time interval): **\$14,750**

State Costs	
2 channel recording software	\$9,000

Recording PC or laptop	\$3,400
2 channel mixer	\$1,000
2 microphones	\$850
Installation/setup	\$500
Subtotal	\$14,750
County Costs	
Wiring	Optional network drop
	\$200
Subtotal	\$200
Total	\$14,950

Stenography Equipment – Per Stenographer: \$13,400

State Costs (100%)	
Steno machine	\$5,500
Laptop Computer	\$2,200
Steno Software	\$3,500
Portable backup recorder	\$1,100
Transcribe key	\$500
Transcriber software	\$300
Wireless transmitter/receiver	\$300
Total	\$13,400

Note: Other county obligated items/costs should be determined locally.

In order to maintain these systems once they are purchased and installed, circuits may contract with the original vendor for the on-going hardware/software maintenance needs and/or perform some of the hardware maintenance functions in-house. In December 2008, the Trial Court Budget Commission approved budgetary policies for associated hardware/software maintenance needs. First, to ensure appropriate maintenance funding levels, the Trial Court Budget Commission approved each circuit’s total annual state maintenance funding need not to exceed 13% of initial (state funded) hardware and software costs.

As for the lifecycle replacement (refresh) of court reporting hardware items, in December 2008, the Trial Court Budget Commission also approved specific timeframes for hardware refresh in support of an on-going lifecycle management plan, as follows:

Hardware Replacement Schedule	
ITEM	SCHEDULE
Servers	
Primary Server – centralized model	3 years
Secondary Server – centralized model	3 years
Primary Server – decentralized model	4-5 years
Secondary Server – decentralized model	4-5 years
Video Server	4 years
Digital A/V	
Digital matrix mixers	6 years
Cameras	5 years

Encoders	6 years
Bench Control Panel	5 years
Handheld Digital Recorder	3 years
Analog A/V	
Microphone	5 years
Tape machine	7 years
Amplifier	7 years
Bench Control Box	7 years
Speakers (sound system)	10 years
Cameras	5 years
Workstations	
Networked Monitoring Workstation	4 years
Transcription Workstations	4 years
Standalone workstation or laptop	3 years
Computer monitors	5 years
Stenograph Equipment	
Stenograph Machine	5 years
Stenograph Laptop	3 years
Stenograph secondary recorder system	3 years
Other Computer Hardware	
UPS (uninterruptible power supply)	3 years
Headsets	2 years
Foot Pedals	4 years

D. Capacity Planning

Careful planning is key to the success for a project of this magnitude. Judges, state attorneys, public defenders, private counsel, court administrators, clerks of court, bailiffs, court technology officers and others must be regularly consulted. An implementation plan for each courthouse, courtroom, and hearing room must be developed. Employees must be hired and trained. To help assist with the allocation of resources including requests for funding, Office of the State Courts Administrator staff review implementation plans of each judicial circuit to ensure local objectives meet state operational and technical obligations.

VII. Schedule IV-B Project Management Planning

The Judicial Branch has several components in managing the court system. The key decision makers in the trial court system include commissions and committees appointed by the Supreme Court, the chief judges of each circuit, and court administration at both the state and circuit level. Prior to Revision 7 implementation, the trial courts operated mainly as unique and separate systems. This was due to the wide variations in funding provided by individual counties and local environmental conditions. Now that Revision 7 has been implemented and funding is provided by the state for essential court system elements, the trial courts have been attempting to operate more as a unified system. However, local environmental conditions still impact the delivery of services, meaning that variations in the circuits will never completely dissipate. Consequently, the Florida Courts Technology Commission, Commission on Trial Court Performance and Accountability and the Trial Court Budget Commission recognize that each judicial circuit must maintain a level of flexibility in managing their own operations.

Four primary stakeholder groups have been instrumental in planning the integration of court reporting technology: the Commission on Trial Court Performance and Accountability, the Trial Court Budget Commission, the Florida Courts Technology Commission, and the chief judges and trial court administrators of Florida's twenty judicial circuits. Three reports have been released or drafted by the Commission on Trial Court Performance and Accountability. The first, in December 2002, defined the court reporting element and provided recommendations for the provision of this service. The report stated that:

The existence of aging systems in the midst of rapid changes in technological and market conditions has created an environment of urgency bordering on crisis for some courts. Some circuit courts are unable to ensure that accurate and timely transcripts can be produced for appellate purposes.

The Commission on Trial Court Performance and Accountability also recommended that the State Courts System “seek funding to support the purchase and installation of electronic court reporting technological hardware and software...” To begin the purchase of this technology, in 2003, technology standards were created by the Trial Court Technology Committee and ratified by the Florida Courts Technology Commission to establish a working statewide model for the successful utilization of technology to remotely capture audio and/or video recordings of court proceedings. The five main standards for introducing digital court reporting to courtrooms are: (1) produce a quality recording; (2) automate processes of digital court recording; (3) preserve the integrity of the record; (4) provide attachment support; and (5) provide electronic search and access for recordings. All products supplied by vendors of digital court reporting technology were required to be compliant with the standards by July 1, 2005.

In February 2005, a report titled a *Statewide Plan for the Effective Use and Management of Court Reporting Services* that was approved to be implemented by the trial courts post-Revision 7. Several goals and objectives were laid out for the trial courts including that digital recording capacity will exist in all courtrooms utilized for cases in which

recording is required at public expense and that all digital recording systems will comply with the *Technical and Functional Standards for Digital Court Recording* (see Appendix A) which was last updated by the Court Reporting Technology Workgroup in October 2008.

The third report, submitted to the Supreme Court in October 2007, provides *Recommendations for the Provision of Court Reporting Services in Florida's Trial Courts*. These recommendations address the entire court reporting process from the qualifications of employees or contractors who perform these services to regulations regarding the production of transcripts. Additionally, recommendations were made to revise court rules and Florida Statutes to sufficiently address the legal and operational issues arising from the use of digital technology. These recommendations also included new rule and statutory revisions to define digital recordings; determine accessibility to digital recordings; prevent the unintentional recording of confidential information; and identify persons permitted to produce transcripts from digital recordings. As circuits have continued to implement digital audio/video technology in their courts based on the strategies outlined in previous reports, this report provides specific standards of operation and best practices regarding the use of this technology.

On July 16, 2009, the Supreme Court adopted changes to the Rules of Judicial Administration and Florida Rules of Appellate Procedure in response to the October 2007 recommendations of the Commission of Trial Court Performance and Accountability. The opinion may be found at: <http://www.floridasupremecourt.org/decisions/2009/sc08-1658.pdf>. The Supreme Court recognized that digital recordings of court proceedings are now widely used throughout the state by those involved in the court system and have proven to be useful, reliable, and cost effective. They noted that access to these recordings should not be denied. On January 7, 2010, the Supreme Court issued AOSC10-1 which adopted the standards of operation and best practices proposed by the TCP&A in both the October 2007 report and as revised in a November 2009 supplemental report. This administrative order was recently revised in July 2011 to further address how copies of recordings are produced and disseminated. The new administrative order, AOSC11-22, may be found at: <http://www.floridasupremecourt.org/clerk/adminorders/2011/AOSC11-22.pdf>.

In determining crucial budget policies for the State Courts System, the Trial Court Budget Commission has reviewed the above strategies laid out by both the Commission on Trial Court Performance and Accountability and the Florida Courts Technology Commission as they relate to the provision of court reporting services. In doing so, the Trial Court Budget Commission has recently approved supporting budgetary policies on the long-term management of court reporting equipment. These policies can be found in the report titled, *Recommendations of the Court Reporting Technology Workgroup* (see Appendix B). This report includes both refresh timeframes and a long-term plan for continued integration of digital technology.

A. Work Breakdown Structure

In developing the FY 2014-15 court reporting budget request, the Trial Court Budget

Commission reviewed individual circuit requests in line with the above state level strategies and budgetary policies. The Office of the State Courts Administrator provides support and guidance to the circuits, directs the Invitation to Negotiate (ITN) process, assists with vendor coordination, and assists with technology installation. The chief judge and trial court administrator are directly responsible for developing circuit-level work structures for the continued implementation of digital technology.

Additionally, the Office of the State Courts Administrator updated its qualified vendor list in 2008 via the Invitation to Negotiate process. Each prospective vendor was evaluated and required to demonstrate proficiency with these updated standards. As a result, four additional vendors have been added to the qualified list for an overall total of eight. In addition, the *Technical and Functional Standards for Digital Court Recording* (see Appendix A) have been updated effective October 2008. Qualified vendors are also on a state contract and are thus available for use by the circuits.

B. Resource Loaded Project Schedule

Digital audio/video court recording hardware and software components must be purchased by each circuit from approved vendors by June 2015. Installation of purchased components must occur per contract by the circuits no later than September 30, 2015. Circuits are individually responsible for establishing the local terms of the vendor contracts.

D. Project Budget

For FY 2014-15, the trial courts have a statewide need of:

Court Reporting Expansion

\$1,446,114 ODPS

If funding for the above expansion request is approved, it is estimated \$105,420 in funding will be needed beginning in FY 2015-16 to support the on-going maintenance needs of this technology (due to the expiration of the initial one year warranty coverage).

Court Reporting Maintenance/Refresh of Existing Equipment

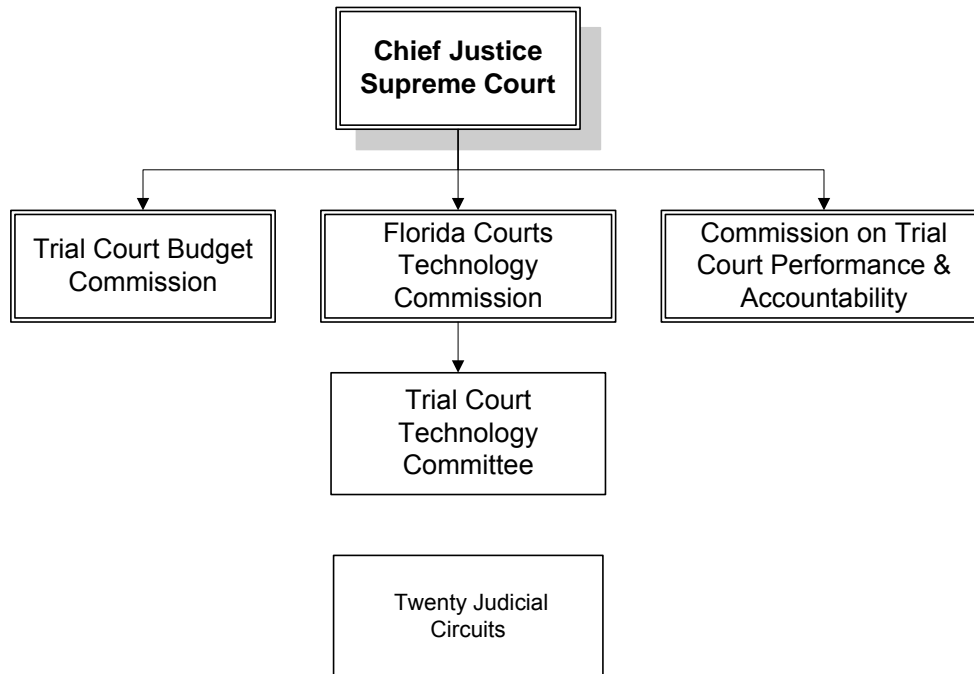
\$4,806,925 ODPS for FY 2014-15

{Note: Project Budget Worksheet 1 and 2 are not applicable as all development, implementation, and transition costs related to this project have been accounted for on the Cost Benefit Analysis Forms in Appendix C}

E. Project Organization

The integration of court reporting technology is carried out directly by each judicial circuit. However, Supreme Court appointed commissions such as the Commission on Trial Court Performance and Accountability, Trial Court Budget Commission, and the Florida Courts Technology Commission provide high level oversight over the process. Further, the Office of the State Courts Administrator provides support as needed. The project governance structure is graphically represented below.

Court Reporting Services – Digital Technology Governance Structure



F. Project Quality Control

Overall, each circuit conducts the following quality control measures:

1. Unit Testing is conducted on all components.
2. Software Acceptance Testing is completed by circuit court technology staff to validate each software revision to be installed within a production environment. The digital recording software including the operating system and other necessary components, built and configured, are verified and tested to be operationally acceptable before deployment. Validation of digital recording system and other relevant software is tested according to the criteria as defined by software manufacture and court staff.
3. Integration Testing is conducted by the circuit court technology staff to verify that each element of the digital system interacts with each other one as designed, and performs in compliance with the system specifications and design of each digital court recording model. Integration Testing is conducted in a live courtroom environment suited to reflect and duplicate as closely as possible, a typical operational environment within the State Courts System.

4. Functional Testing (testing against functional specifications, which exercise the system from the end-user stand point) is performed in order to ensure that the functional specification is met for correctness, procedural accuracy, user friendliness, and consistency. Functional Testing includes, but is not limited to:
 - System security functionality is tested against State requirements, to ensure protection from improper penetration.
 - Login security is tested to verify access to authorized functions.
 - Security of workstation data is tested per the State requirements.
 - Audio recording is tested to verify the accurate capture of spoken word.
 - CD-Rom and DVD systems are tested to verify archive of audio recordings using portable medium.
 - Server interaction is tested to verify interoperability of integrated systems.
 - System reliability is tested to verify high availability of audio recording.
 - Verification of operations and reference manuals.
 - Usability testing is conducted with the main objective to verify that the system will be easy to learn and easy to use.
 - Usability testing to include:
 - Consistency between screens is tested for the look and feel to be consistent throughout the system
 - Labels and Titles to accurately reflect the actions to be performed.
 - Accessibility and ease of use of all functions in user interfaces.
 - Mouse and keyboard support for all functions
 - Error message clarity, meaningfulness, and helpfulness in troubleshooting
 - Efficiency of the interface to ensure that a minimum amount of steps and time are required to complete a task.
5. Operational Testing
 - Volume testing to validate maximum number of integrated rooms and number of users, and concurrent user requests which a system can tolerate and handle appropriately.
 - Performance testing to achieve loads that mimic realistic business usage and to validate that the systems can meet acceptable service levels.
 - Stress testing to validate the stability of the integrated DCR server and database under overload and abnormal conditions, when the system is required to handle resource demands in excessive quantity, frequency or volume; for example, when a number of clients simultaneously request playback of multiple audio recordings which exceed system requirements.
 - Resource usage testing to verify that resource consumption does not exceed the required level and that the system is not particularly sensitive to certain input values.
 - Database recovery testing to validate system availability and recover ability requirements.
 - Network-related failure recovery will be verified.

- Compatibility testing to verify that the Digital Court Recording system interacts with other State Court automation systems as required.
 - Startup/Shutdown tests to meet end user performance and usability requirements.
 - Validation of hardware setup and configuration procedures against the documented instructions.
 - Installation testing to validate installation procedures as appropriate. This includes software distribution, verification of dates, versions, presence of files and folders as well as all necessary drivers and 3rd party software.
 - Configuration testing to validate all required hardware and software configurations and their combinations.
 - Reliability testing to validate the entire system as well as all system components and wiring targeting specific reliability requirements.
6. Pre-Acceptance Testing is conducted on-site by vendor and circuit court technology staff. Pre-Acceptance Testing is a full system test executed at the court site within each courtroom or hearing room environment that mimics the realistic business environment as closely as possible, and ensures that the system's functional and software environmental issues are resolved before acceptance testing begins. Pre-Acceptance testing demonstrates the complete system compliance to each and every identified system requirement. Hardware, software, and infrastructure are validated to ensure the success of the acceptance test. Validation results are reviewed and approved by the Chief Judge and Court Administrator of the Circuit.
7. Acceptance Testing is performed by circuit court technology staff. Acceptance testing will be performed against system requirements captured in the Acceptance Test Specification and will include all elements of the system testing, such as functional and operational testing including business case scenarios and creation of removable media as identified in the Program Overview. The Acceptance Test Specification identifies at least one test case for each and every requirement in order to ensure full compliance.

All hardware and software system components are installed and the installation is verified using actual documented installation procedures. Software un-install procedures are also validated if applicable.

The Court Technology Officer of each circuit monitors and registers/reports on all the issues found during Acceptance testing and tracks them to closure. The Court Technology Officer maintains metrics for reporting test progress and issue tracking. At a minimum, weekly meetings are held to review outstanding issues and test progress. Technical discussions and additional status reviews are held as required. All records of statuses, reviews, and metrics are maintained in the Vendors repositories. A Quality Assessment Report is generated at the end of acceptance testing and provided for court review and approval.

Acceptance Testing includes, but is not limited to:

- Validation of the produced removable media.

- Verification of hardware and software components and their functionality.
- Overall DCR solution functionality and expected outputs.
- Walkthrough demonstration of all hardware, software, and documentation deliverables.

Vendor personnel remain on site for effective support during equipment installation acceptance testing. Vendor provides hardware, software, and QA specialists that have worked on the DCR system development until the system is accepted by the Court.

8. Removable Media Quality Control Program is deployed to ensure the uniformity and consistency of the captured audio recording and the use of CD-ROM and DVD storage systems statewide. Vendor generates a Removable Media Design Specification to identify detailed requirements for the media, including audio quality, graphic design and layout, security features, and portability.

In order to detect removable media quality problems as early as possible, the Court Technology Officer, during each and every sub-phase (System testing, Pre-Acceptance and Acceptance) of the validation phase, executes the Test Specification and create recordings to validate their compliance to the Removable Media Design Specification.

Vendor tests each and every CD-ROM and DVD writer before it is installed at each court site. Test media are created and evaluated against applicable standards and requirements.

To ensure that all removable media meets specified Court requirements and all identified technical issues are tracked to closure, the following Media Verification Process is enforced by Program Management and strongly supported by Vendor.

- Obtain court approval of the removable media design specification and media design samples for all State approved audio recordings.
- Generate the Test Specification for media quality testing and obtain its approval from the customer.
- Generate a sample audio recording for each media type. To address the privacy concerns and avoid usage of personal data, test data are established. It also includes the entire range of possible captured audio.
- Execute the Test Specification, create all media types, inspect and verify against approved samples and the Test Specification's expected results. All features and design items are verified.

The verification of the following items includes:

- Audio quality of captured recording
- Playback against Redbook and DVD standards
- Security features
- Labeling of media including font size and bold level of text

- Specify any non-compliant issue and enter it into Vendor issue tracking system.
- Identify appropriate fix for specified issue and implement it.
- Re-build software and/or hardware and re-test specified issue.
- All exceptions and/or deviations from agreed upon and approved samples and requirements are documented, reviewed, and approved by Court.

In order to ensure consistent performance of all recording subsystems, vendors train court personnel in the following areas:

- Physical conditions of the audio capturing, such as background noise, microphone placement, subject positioning, distance between microphones, etc.
- Equipment calibration
- Peripheral equipment driver setups
- Startup and Shutdown procedures
- Failure recovery, trouble shooting, backup and restore procedure
- Inspection of the supply materials from inconsistencies and/or defects, which may require placement
- Evaluation of the recorded media quality.
- Vendor support process which is designed to address any court issue and track it to closure in a timely manner.

G. External Project Oversight

Not Applicable.

H. Risk Management

Project Risk and Risk Mitigation					
Risk Description	Impact of Risk	Probability of Occurrence	Tolerance Level	Mitigation Strategy	Comments
1. Infrastructure Change	The technological infrastructure for court reporting services will be modified in varying degrees around the state depending on the level of digital technology already in place.	Low	High	Planning, Communication, and Training.	Responsibility lies with the chief judges and court administrators.

2. Business Process Change	Business process changes will have a positive impact on funding needs, but will cause some circuits to adjust staffing models to achieve cost efficiency, including the reclassification of stenographic staff to digital court reporters.	Medium	High	Planning, Communication, and Training.	Responsibility lies with the TCBC, TCP&A, chief judges and court administrators.
3. Stakeholder Support for Project	The majority of stakeholder groups are in support of digital technology.	Low	High	Planning, Communication, and Training.	Responsibility lies with the TCBC, TCP&A, and chief judges and court administrators.
4. Decentralized implementation of Technology/ Complexity of Project	Due to the multi-component management structure of the Judicial Branch and the significant variations across the trial courts, each judicial circuit is individually responsible for the local success of digital technology.	Low	High	Planning, Communication, Training, and Support and Guidance from the TCP&A, TCBC, and OSCA.	Responsibility lies with the chief judges and court administrators.

I. Organizational Change Management

The integration of digital technology and the associated management of this change are carried out directly by each judicial circuit. However, Supreme Court appointed commissions such as the Commission on Trial Court Performance and Accountability, Trial Court Budget Commission, and the Florida Courts Technology Commission provide high level oversight over the process. Further, the Office of the State Courts Administrator provides systemic support as needed.

Generally, the organizational change impact on each major stakeholder group is as follows:

Stenography Firms and Stenographers. Court reporting firms and stenographers have expressed concerns regarding the introduction of digital audio/video technology as it may impact their future earnings. However, stenographic reporters will be retained for cases in which there is a high probability of a transcript request. As digital audio/video technology is implemented, stenographers employed by the court system may also be given the opportunity to apply or be cross-trained as digital court reporters. Lastly, many stenographic firms and privately employed stenographers are refocusing their efforts to civil proceedings in which they are contracted by private parties such as law firms to provide court reporting services.

Judges. Judicial resistance to the deployment of digital audio/video court reporting has varied over the years. Those judges that have been accustomed to more traditional court reporting methods do not necessarily wish to change the way they control and manage their courtrooms. However, resistance is currently almost nonexistent across the state. It

is now common practice in the trial courts for judges to play an integral role in communicating and training all stakeholders on the benefits of this technology.

State Attorneys and Public Defenders, Conflict Counsel, Members of the Private Bar. Like judges, attorneys who have practiced in the courts for many years are accustomed to traditional stenographic reporters. With digital audio/video technology, some in-court attorney behaviors are required to change. Thus, there has been a level of discomfort on the part of some attorneys with the use of this technology in certain areas of the state. Concerns have been expressed regarding whether microphones are muted before having private conversations with clients in the courtroom. Currently, signs are placed inside and outside of courtrooms (and often at the attorney's tables) informing all those in attendance at a proceeding of the digital audio/video recording. In several courtrooms around the state, microphones with mute buttons are placed at the attorney's tables so that they can control what is recorded. The Supreme Court has also recently adopted changes to the Rules of Judicial Administration that address safeguarding confidential information when digital recording is in use as well as several standards of operations and best practices pertaining to the protection of confidential information on digital recordings.

Chief Judges, Trial Court Administrators, and Court Staff. The integration of digital court reporting technology is championed by trial court administrators and their staff with support from the chief judge. As messengers, they bear the responsibility for planning, communicating, and conducting the necessary training with stakeholders. Their leadership is instrumental in effectuating the implementation of the technology.

Court Technology Officers. The State Courts System relies heavily on the expertise of its twenty court technology officers. Court technology officers work in concert with the judges, court administrators, and court reporting managers to ensure smooth transition to digital court reporting technology. They are also thoroughly trained by the vendor on the tagging, monitoring, and other operational features of the digital technology.

Clerks of Court. Clerk staff still provide court reporting services, on a limited basis, in some circuits. The integration of digital audio/video technology will assist circuits in transitioning away from their reliance on clerk staff for this function.

J. Project Communication

The Commission on Trial Court Performance and Accountability, Trial Court Budget Commission, Florida Courts Technology Commission, and the Office of the State Courts Administrator have been in regular communication with the trial court administrators and chief judges of all twenty circuits regarding this issue over the last several years (as discussed in previous sections). This request is being submitted on their behalf and with the knowledge that they retain the experience and responsibility for successfully integrating this technology in their local arenas (similar to the past 7 years).

K. Special Authorization Requirements

Not applicable.

VIII. Appendices

APPENDIX A

Technical and Functional Standards for Digital Court Recording

As of October 2008

Overview

This document provides detailed specifications for Digital Court Recording (DCR) systems which meet the court's needs for operating and managing the recording of court proceedings and hearings for the purpose of providing transcripts of court proceedings as mandated by Florida Statutes. These specifications will be updated on a regular basis and will be applied progressively to future purchases as of the date approved by the Florida Courts Technology Commission.

The initial focus of these standards is to record the audio and in some cases the video of court proceedings using a digital court recording system. The system is setup in a series of repositories encompassing many recorded rooms that may be accessible within a networked environment. This configuration shall provide for ease of administration and disaster recovery preparations as defined in this document.

DCR Technical and Functional Requirements

1). Produce a Quality Recording

The integrated DCR system must be able to produce high quality digital masters for archival preservation of the recording of a court proceeding. It is essential that the system playback feature accurately represents the recording of court proceedings. The quality of the digital recording must be clear and distinct, and accurate for use by the legal and judicial community for transcription. The system must have the ability to record on multiple channels determined by the room size, number of microphones, type of proceeding and other engineering requirements.

Base Configuration Requirements

- Audio recordings will be recorded at a minimum sampling rate of 44.1KHz at 16 bits
- Playback capability to the recorded room must be supported
- Remote monitoring over a WAN requires bandwidth management to ensure overall operation of the LAN/WAN is not negatively impacted.
 - Remote monitoring over a LAN, the bandwidth usage should not exceed 500Kbps per recorded room.
 - Remote monitoring over the WAN, whether one court room or multiple, the bandwidth utilization shall not exceed 500Kbps. The recommended standard is 384Kbps.
 - For remote monitoring over the WAN, the quality expectation should be not more than 15 frames per second. For capturing the video on the LAN, the quality expectation is at least 30 frames per second. Mpeg4 Layer 10, H.264 is preferred.
 - To retrieve a recording from a remote server over the WAN, the bandwidth usage should not exceed 384Kbps. File transfers can utilize higher percentages of

available line speed if done after hours. If file transfers are done during normal business hours, they should not exceed 384Kbps and should not impact regular business.

- Changes to bandwidth requirements are allowed with local court approval in consideration of available local resources.
 - The voice traffic shall be QOS prioritized.
 - Recommended QOS tag should be DSCP AF41 (this makes DCR in compliance with video teleconference standards).
- Standard Courtroom – minimum 4 Channel recording.
 - Hearing Room – minimum 2 Channel recording.
 - Backup, fault-tolerant recording – at a minimum a 1 Channel mixed recording.
 - Portable laptop/self contained units – 2 Channel recording with a minimum of two microphones with the ability to archive back to the main system.
 - Handheld Recorder – single channel recording on a portable recorder

All system configurations must have the ability to verify the status of the recorded audio for the primary and backup recording systems as the system is recording. At a minimum, the DCR system must be able to record and provide playback of the recording.

Microphones are assigned to specific channels for higher quality recording and isolation of audio on the channel for clarity purposes.

2). Automate Processes of Digital Court Recording

Automatic Record Operation

The DCR system shall include an automated record activation feature to allow for unattended operation using a user configurable scheduler. When enabled, the DCR system should record the spoken word automatically, unattended, without operator involvement. Scheduled activation shall allow for multiple recording events to be programmed using varied scheduled dates, including starting times and duration of recordings, and VOX. These scheduled events will be on a per court proceedings basis, and shall be flexible to allow varied events at different times. For maximum effectiveness, recorded conversation should be comprehensive, without loss of spoken word or phrase.

Storage and Archiving

The DCR system shall organize recordings using an indexed data structure that can be easily backed up and recovered by the user. The purpose of the data structure is for organizing the recordings in a manner that allows for easy search and location of requested recordings for review or transcription. Data structures should have the ability to accommodate a web based interface for ease of access for limited use such as search and listen, if required for local court needs.

The DCR Application shall utilize a centralized and distributed index which is redundant for failsafe operation. Archiving methods should utilize industry standard technologies and methods

for backup, storage, recovery, and organization of archival digital recordings. The backups should be flexible enough to allow for offsite storage of the records. Archives should be indexed using an automatic numbering scheme for labeling and easy identification for retrieval.

All recording servers used in support of the central recording model must have archival systems that operate mutually exclusive of each other. Primary and secondary recordings shall archive to different archival systems to preserve a redundant copy of the record in separate locations. The software must maintain a searchable index of archived recordings detailing time and date stamps as well as labeling that would allow for immediate identification of needed records. Vendor provided archive servers must have enough storage capacity to maintain on-line storage of digital recordings for a minimum period of six months.

Centralized Monitoring Over Distributed Network

An integrated DCR system enables operators to hear, see, and record audio and video in real time. By leveraging network based systems to listen to and observe court proceedings activity, operators can efficiently monitor several rooms simultaneously from a remote location over the court's local or wide area network if required.

In order to effectively monitor a court proceeding, the DCR system must allow an operator to view sound level indicators of each audio channel with ease. The operator must be able to clearly and distinctly listen to the recorded audio or channels of sound to determine and monitor the quality of the recording. Separate audio channels allow the listener the ability to isolate the microphone/speaker on an individual channel allowing for greater clarity. Closed circuit or network based video cameras are also an important component of the system that allows for centralized monitoring and identification of speakers and events in the court proceedings as well as the option of capturing video with the record.

However, the DCR system should provide an operator with the capability to centrally monitor at least four integrated court proceedings remotely in a LAN environment, using a business class desktop computer or workstation.

The DCR system must provide for a comprehensive graphical user interface to enable a DCR operator to:

1. View a list of monitored court proceedings.
2. Read status indicator(s) of court recording activity.
3. View live images of at least four court proceedings on a single display.
4. Display on screen messaging including status, time and date stamp, and allow for input of the case identifier(s).
5. Room switching must be an integrated part of the software.

User Interface

The DCR system must provide a visual user interface for court personnel to monitor, record, and playback recordings of court proceedings. User profiles should allow for customized levels of

access and administrative control of the system to prevent unauthorized use and/or damage to the system. Rule based security must be part of the application, and at a minimum events shall be logged by user name with date and time stamps.

Operators must have the ability to perform basic recording control features such as start, stop, pause recording, and playback of audio to a sound reinforcement system in a recording room either locally or remotely.

The DCR software should provide methods to assist with identifying an active speaker during recording. Monitors and operators should have the ability to input relevant annotations that are attached to the recording using a standard computer keyboard.

3). Preserve Integrity of the Record

It is important that the DCR system preserve the integrity of the electronic record after a court proceeding has been recorded through appropriate system configuration or storage medium, whether on fixed disk or removable media. The recordings must be tamper resistant with provisions to ensure that the record cannot be tampered with after it is recorded into the system. The archive and redundancy systems must have “record over” protection. The DCR System must offer backup methodologies consistent with the court’s requirements for the protection and recovery of its records. At a minimum the system must allow for the offsite backup of the data structure and recordings.

Provisions must be made to provide for fail-safe operation and maximum uptime. Although fixed disks are reliable, all server equipment responsible for recording should have no single point of failure. System power considerations should be planned during the installation phase to allow for 15 minutes of continued operations at all levels of the system to allow for controlled shutdown during extended power outages, and to reduce loss of recording of proceedings and system damage. Power considerations should include at a minimum the server bank, switches, routers, and workstations associated with monitoring and recording.

In complex configurations where equipment is responsible for recording multiple recording rooms using one or more servers, the DCR system must have a secondary/backup method. The backup method must operate independent of the primary recording server to provide for redundant, fault tolerant operations. It is expected that all participating recorded rooms provide an independent composite audio channel to the secondary/backup system. All primary servers must be configured to provide and support RAID Level 5 for all fixed disks and secondary servers RAID 1.

The DCR system must be able to copy recorded content immediately following the end of the proceeding to portable media such as CD-ROM or DVD. The system must also allow for full backup of recordings and data structures using industry standard backup software and methods. The DCR system must allow for network and user profile based security to control levels of access and prevent unauthorized access and potential damage, which shall be incorporated into the application. The system should allow for stronger security if it is deemed necessary. The

system must support the ability to seal all or portions of the recordings utilizing user authorization, encryption, and seal keys.

The DCR system must be protected by anti-virus and anti-spam technologies to avoid loss of data. Remote access by vendors for purposes of working or maintaining systems shall be done in a secure manner in alignment with the court's security standards and expectations both at the state and local level. The system shall not allow for access without court approval. DCR systems shall be designed in a manner that would not preclude it from being updated to work with new releases of Operating Systems. It must also accept regular security and software patches to the Operating System.

4). File Association

The DCR system must be able to associate all related content with the recorded event such as audio, video, annotations and machine understandable data (metadata) to be viewed as a single digital record.

5). Provide Search and Access for Recordings

It is expected that all DCR technology must be accessible for operation over a networked environment. Systems must be capable of streaming live or pre-recorded audio to select users over court network. The system should be capable of delivering this feature to a Web server over the Internet using appropriate security. Additionally, the DCR system must be capable of serving audio and/or video "on demand" to court personnel over network or made available to Internet users through secure Web servers.

Each recording shall be labeled in a logical sequence where it can be identified and accessed in the event the data structure/index fails. At a minimum, each recording shall be labeled with the date, time, and recording room when placed in the data structure. Random labeling of recordings will seriously impair the ability of the recording to be identified in the event of an index corruption or failure. If the data structure has to be rebuilt, the logical labeling of recordings offers a built in structure that can be easily integrated into a new index. All recorded information must be indexed and searchable through a common interface. Recordings must be searchable using a case identifier, filenames, date and time stamps, and annotations as well as any associated metadata captured during and after the recording.

All recordings must be accessible through a common index and made available for searching immediately after it has been recorded.

The DCR system must provide meaningful reports to assist in management of common and relevant analytical and operational information including recording utilization, recording storage capacity, audit logs and security access information.

DCR Technical Constraints

Quality of DCR System Software

The Appellate and Circuit Courts utilize standardized operating systems, and are continually upgrading to new releases. The DCR system should be compatible with all major platforms and should not use proprietary hardware or software. The system should support open standards including but not limited to HTML, ODBC/JDBC, TCP/IP, and XML that can be utilized to facilitate search requests, data retrievals, electronic submission and transport of all digital data. Stable open source server platforms that are OS independent are acceptable.

Software installation

Installation routines that feature both text-mode and graphical user interfaces including the use of W3C HTML 3.0 compliant web browsers, supporting a wide variety of video hardware at reasonable color depths and resolutions. In cases where the graphical interface is not desired or supported, a text mode interface must be made available to provide the user with the same functionality. The text mode installation should spare the novice the intimidation of a command prompt. The text interface should provide a friendly script driven interface to the text mode installer. The DCR software application should be independent of the operating system version.

Driver support

The system shall utilize an automatic hardware detection system to discover hardware, OS kernel version and server drivers to use with devices such as Firewire, PCI, AGP, USB, and PCMCIA devices. The vendor must provide timely support for driver support, updates, and functionality.

Version control

All packages, including drivers, audio applications, and servers related to multimedia, operating system and kernel patches, will be provided in their latest version, to be fully tested by the systems integrators and court staff. System upgrades should be equally applied to avoid having multiple versions of an application running in the DCR environment that could frustrate future troubleshooting processes.

Sound architecture support

The DCR software should fully support standard sound interfaces and APIs on workstations and servers. It is expected that all audio software interfaces are certified by the manufacturer for operation within the intended environment, including consumer sound cards to professional multichannel audio interfaces. The DCR software should be fully modular including support for symmetrical multi processors and have thread safe design. The audio file structure shall be exportable open source formats such as .wav, .mp3, .avi, .au or similar industry standard playable by any open source playback software. Server environments shall provide the same level of 3rd party vendor support, functionality, and ease of integration into the DCR

environment.

Usability considerations

The Court supports standardized browsers and all court staff are able to access Web based services using these browsers. The user interface must be optimized for use with the screen size of 1024 x768 pixels. However, only features supported by the browser that are aligned with W3C standards should be used for core functionality. In addition to the W3C markup and style sheet standards, all user interfaces that are developed, procured, or otherwise acquired on or after July 1, 2006, must comply with the requirements of the Florida Accessibility of Information and Technology Act (see sections 282.601-282.606, Florida Statutes) and the Standards Applicable to Electronic and Information Technology as set forth in Rule 60EE-1.002, Florida Administrative Code.

DCR Standards and Functions Summary

Required

1. Must be able to produce high quality digital masters for archival preservation of the recording in a court proceeding.
2. Recording must be clear and distinct and accurate for use by legal and judicial community for transcription.
3. Must have the ability to record on multiple channels.
4. Audio recordings will be recorded at a minimum sampling rate of 44.1KHz at 16 bits.
5. Playback capability to the recorded room must be supported.
6. For remote monitoring over the LAN, bandwidth should not exceed 128 Kbps and shall not exceed 512Kbps per recorded room.
7. For remote monitoring the WAN, bandwidth usage should not exceed 384Kbps and shall not exceed 512Kbps.
8. For retrieving recordings over the WAN, bandwidth should not exceed 384Kbps and shall not exceed 512Kbps.
9. Voice traffic shall be QOS prioritized.
10. Standard Courtrooms shall have a minimum of 4 channels.
11. Hearing rooms shall have a minimum of 2 channels.
12. Backup fault tolerant recording shall have a minimum of 1 channel mixed recording.
13. Laptops or standalone units shall have a minimum of 2 channels of recording with the ability to archive back to the main system.
14. Handheld recorder shall have a single channel recorder.
15. All system configurations must have the ability to verify the status of the recorded audio for the primary and backup recording systems as the system is recording. The system must be able to record and provide playback of the recording.
16. System shall include an automated record activation feature to allow for unattended operation using a user configurable scheduler.
17. Scheduled activation shall allow for multiple recording events to be programmed using varied scheduled dates, including starting times and duration of recordings, and VOX.
18. Scheduled events will be on a per court proceedings basis, and shall be flexible to allow varied events at different times.
19. The DCR system shall organize recordings using an indexed data structure that can be easily backed up and recovered by the user.
20. The DCR system must utilize a centralized and distributed index which is redundant for failsafe operation.
21. All recording servers used in support of the central recording model must have archival systems that operate mutually exclusive of each other.
22. Primary and secondary recordings shall archive to different archival systems to preserve a redundant copy of the record in separate locations.

23. The software must maintain a searchable index of archived recordings detailing time and date stamps as well as labeling that would allow for immediate identification of needed records.
24. Vendor provided archive servers must have enough storage capacity to maintain on-line storage of digital recordings for a minimum of six months.
25. The DCR system must allow an operator to view sound level indicators of each audio channel with ease.
26. The operator must be able to clearly and distinctly listen to the recorded audio or channels of sound to determine and monitor the quality of the recording.
27. The DCR system must provide for a comprehensive graphical user interface to enable a DCR operator to:
 - a. view a list of monitored court proceedings
 - b. Read status indicator(s) of court recording activity
 - c. view live images of at least four court proceedings
 - d. display on screen messaging including status, time and date stamp, and allow for input of the case identifier(s)
 - e. Room switching must be an integrated part of the software
28. The DCR system must provide a visual user interface for court personnel to monitor, record, and playback recordings of court proceedings.
29. Rule based security must be part of the application, and at a minimum events shall be logged by user name with date and time stamps.
30. Operators must have the ability to perform basic recording control features such as start, stop, pause recording, and playback of audio to a sound reinforcement system in a recording room either locally or remotely.
31. The recordings must be tamper resistant with provisions to ensure that the record cannot be tampered with after it is recorded into the system.
32. The archive and redundancy system must have “record over” protection.
33. The DCR System must offer backup methodologies consistent with the court’s requirements for the protection and recovery of its records (I&I).
34. At a minimum, the system allow for the offsite backup of the data and recordings.
35. Provisions must be made to provide for fail safe operation and maximum uptime.
36. In complex configurations where equipment is responsible for recording multiple recording rooms using one or more servers, the DCR system must have a secondary/backup method. The backup method must operate independent of the primary recording server to provide for redundant, fault tolerant operations.
37. All primary servers must be configured to provide and support RAID Level 5 for all fixed disks and secondary servers RAID 1.
38. The DCR system must be able to copy recorded content immediately following the end of the proceeding to portable media such as CD-ROM or DVD.
39. The system must also allow for full backup of recordings and data structures using industry standard backup software and methods.

40. The DCR system must allow for network and user profile based security to control levels of access and prevent unauthorized access and potential damage, which shall be incorporated into the application.
41. The system must support the ability to seal all or portions of the recordings utilizing user authorization, encryption, and seal keys.
42. The DCR system must be protected by anti-virus and anti-spam technologies to avoid loss of data
43. Remote access by vendors for the purposes of working or maintaining systems, shall be done in a secure manner in alignment with the court's security standards and expectations both at the state and local level.
44. The system shall not allow for access without court approval.
45. DCR systems shall be designed in a manner that would not preclude it from being updated to work with new releases of operating systems, and must accept regular security and software patches to the operating system.
46. The DCR System must be able to associate all related content with the recorded event such as audio, video, annotations and machine understandable data (metadata) to be viewed as a single digital record.
47. DCR technology must be accessible for operation over a network environment.
48. Systems must be capable of streaming live or pre-recorded audio to select users over the court network.
49. The DCR system must be capable of serving audio and/or video on demand to court personnel over network or made available to the Internet users through secure Web servers.
50. Each recording shall be labeled in a logical sequence where it can be identified and accessed in the event the data structure/index fails. At a minimum each recording shall be labeled with the date, time, and recording room when placed in the data structure.
51. All recorded information must be indexed and searchable through a common interface
52. Recordings must be searchable using a case identifier, filenames, data and time stamps, and annotations as well as any associated metadata captured during and after the recording
53. All recordings must be accessible through a common index made available for searching immediately after it has been recorded.
54. The DCR system must provide meaningful reports to assist in management of common and relevant analytical and operational information including recording utilization, recording storage capacity, audit logs and security access information.
55. The system shall utilize an automatic hardware detection system to discover hardware, OS kernel version and server drives to use with devices such as Firewire, PCI, AGP, USB and PCMCIA devices
56. The vendor must provide timely support for driver support, updates, and functionality.
57. In cases where the graphical interface is not desired or supported, a text mode interface must be made available to provide the user with the same functionality.

58. All packages, including drivers, audio applications, and servers related to multimedia, operating system, and kernel patches will be provided in their latest version, to be fully tested by the systems integrators and court staff.
59. Audio file structure shall be exportable to open source formats such as .wav, .mp3, .avi, .au or similar industry standard playable by any open source playback software.
60. Server environments shall provide the same level of 3rd party vendor support, functionality, and ease of integration into the DCR environment.
61. The user interface must be optimized for use with the screen size of 1024X768 pixels.
62. The system must comply with the requirement of the Florida Accessibility of Information and Technology Act (see sections 282.601-282.606, Florida Statutes) and the Standards Applicable to Electronic and Information Technology as set forth in Rule 60EE-1.002, Florida Administrative Code.

Recommended

1. Data structures should have the ability to accommodate a web based interface for ease of access for limited use such as search and listen, if required for local court needs.
2. For monitoring, the quality expectation should be at least 30 frames per second for video. For capturing video.
3. For capturing video, the quality expectation should be at least 15 frames per second.
4. Mpeg4 Layer 10 and H.264 for video is preferred.
5. Higher bandwidth allowed after hours, should not impact regular business, and bandwidth requirements can be changed with local court approval based on availability of local resources.
6. The DCR system should record the spoken word automatically, unattended, without operator involvement when the scheduler is enabled.
7. When the scheduler is enabled, the recorded conversation should be comprehensive, without loss of spoken word or phrase.
8. Data structures should have the ability to accommodate a web based interface for ease of access for limited use such as search and listen, if required for local court needs.
9. Archiving methods should utilize industry standard technologies and methods for backup, storage, recovery, and organization of archival digital recordings.
10. Backups should be flexible enough to allow for offsite storage of records.
11. Archives should be indexed using an automatic numbering scheme for labeling and easy identification for retrieval.
12. The DCR system should provide the operator with the capability to centrally monitor at least four integrated court proceedings remotely in a LAN environment, using a business class desktop computer or workstation.
13. User profiles should allow for customized levels of access and administrative control of the system to prevent unauthorized use and/or damage to the system.
14. DCR software should provide methods to assist with identifying the active speaker during recording.
15. Monitors should have the ability to input relevant annotations that are attached to the recording using a standard computer keyboard.
16. All server equipment responsible for recording should have no single point of failure.
17. System power considerations should be planned during the installation phase to allow for 15 minutes of continued operations at all levels of the system to allow for controlled shutdown during extended power outages, and to reduce the loss of recording of proceedings and system damage.
18. The system should allow for stronger security if it is deemed necessary.
19. The system should be capable of delivering streaming live or pre recorded audio to select users through a web server over the Internet with appropriate security.
20. The DCR system should be compatible with all major platforms and should not use proprietary hardware or software.

21. The system should support open standards including but not limited to HTML, ODBC/JDBC, TCP/IP, and XML that can be utilized to facilitate search requests, data retrievals, electronic submission and transport of all digital data.
22. Stable open source server platforms that are OS independent are acceptable.
23. If a text mode interface is used, the installation should spare the novice the intimidation of a command prompt and provide a friendly script driven interface to the text mode installer.
24. System upgrades should be equally applied to avoid having multiple versions of an application running in the DCR environment that could frustrate future troubleshooting processes.
25. DCR software should fully support standard sound interfaces and APIs on workstation and servers.
26. DCR software should be fully modular including support for symmetrical multi processors and have thread safe design.

APPENDIX B

Trial Court Budget Commission

Recommendations of the Court Reporting Technology Workgroup

November 2008

Overview

On February 2008, the Trial Court Budget Commission (TCBC) established a Court Reporting Technology Workgroup for the purpose of developing technology standards that will assist the TCBC in formulating a budgetary framework for the future course of digital court recording technology (DCR). The need for this workgroup was spurred by the lack of statewide policies concerning the continued acquisition, maintenance, and refresh of all court reporting technology. The workgroup was charged with developing policy recommendations on: a long-term plan for continued court reporting technology expansion including recommending a reasonable standard cost per courtroom/hearing room; a revised Invitation to Negotiate (ITN) process for vendor state contracts; the most cost effective use of court reporting technology including whether circuits should be able to migrate between DCR vendors, transfer equipment to other circuits, or develop their own software; the most cost effective and operationally sound method for maintaining court reporting systems with consideration to whether circuits should perform in-house maintenance or contract with different vendors (a la carte); and a life-cycle management plan for court reporting technology, including time standards aimed at defining refresh parameters.

Members of the Court Reporting Technology Workgroup were chosen in consideration of the following criteria: 1) the workgroup will be comprised of trial court managers who are knowledgeable of the administrative, operational, and technical issues related to court reporting, and 2) the workgroup will reflect the diversity of the twenty judicial circuits. As such, members include:

Doug Smith, Court Technology Officer, 2nd Circuit
Jon Lin, Court Technology Officer, 5th Circuit
Ken Nelson, Court Technology Officer, 6th Circuit
Mark Weinberg, Trial Court Administrator, 7th Circuit
Jannet Lewis, Court Technology Officer, 10th Circuit
Dennis Menendez, Court Technology Officer, 12th Circuit
Gary Hagan, Court Technology Officer, 14th Circuit
Barbara Dawicke, Trial Court Administrator, 15th Circuit
Sunny Nemade, Court Technology Officer, 17th Circuit
Steve Shaw, Court Technology Officer, 19th Circuit
Matt Benefiel, Trial Court Administrator, 9th Circuit

Over the course of 6-8 months, the workgroup members held several meetings via video-/tele-conference to discuss key issues surrounding the utilization of court reporting technology in support of the direct delivery of court reporting services. As a result, the workgroup members have developed the following policy recommendations related to court reporting technology for the TCBC's consideration.

Recommendations

I. Standardized Expansion Costs

Issue: Reasonable standardized costs for court reporting technology must be determined in order to estimate future costs and evaluate circuit funding requests.

Recommendation 1A - Standard Costs - The following standard cost estimates for courtrooms, hearing rooms, standalone recording (laptop or PC based), and stenography are recommended for estimating future costs and for the evaluation of circuit funding requests.

Courtroom Large/Ceremonial (maximum room capacity of 100 persons or more):

State Costs		
Software Licenses – Server & Client	6-8 channels of recording	\$12,000
Video Camera for central room monitoring/and video recording	4 cameras IP based	\$4,800
UPS for recording equipment – recording room	Battery backup and line conditioning	\$600
Digital encoding	Video and audio encoders	\$3,400
Prorated backend server storage and services Ratio 1 server for 6 rooms¹	Dedicated primary and secondary server costs at 17%	\$3,655
Monitoring Workstation	May be local or centralized	\$1,600
Subtotal		\$26,055
County Costs		
Microphones	10 microphones: judge, witness, sidebar, podium/table 1, podium/table 2, jury, clerk, well area	\$6,800
Audio Mixer	Modular style matrix mixer	\$7,000
Wiring	Audio/network/power (13 drops at \$200 each)	\$2,600
Installation and Configuration of a/v equipment and software	Contract dollars	\$2,000
Amplifier		\$1,200
Subtotal		\$19,600
Total Cost		\$45,655

¹ Prorated server costs are based on the total estimated cost of \$21,500 multiplied by .17 (approximate 1:6 ratio). Total estimated cost (\$21,500) is based on the following setup: Primary Server, Secondary Backup Server, Video Server, and Archiving Server.

Courtroom Small to Midsize (maximum room capacity of less than 100 persons):

State Costs		
Software Licenses – Server & Client	4 channels of recording	\$9,000
Video Camera for central room monitoring/and video recording	2 cameras IP based	\$2,400
UPS for recording equipment – recording room	Battery backup and line conditioning	\$300
Digital encoding	Video and audio encoders	\$3,000
Prorated backend server storage and services Ratio 1 server for 6 rooms¹	Dedicated primary and secondary server costs at 17%	\$3,655
Monitoring Workstation	May be local or centralized	\$1,600
Subtotal		\$19,955
County Costs		
Microphones	8 microphones: judge, witness, sidebar, podium/table 1, podium/table 2, jury	\$3,800
Audio Mixer	Modular style matrix mixer with bench control	\$7,000
Wiring	Audio/network/power (10 drops at \$200 each)	\$2,000
Installation and Configuration of a/v equipment and software	Contract dollars	\$1,500
Amplifier		\$1,200
Subtotal		\$15,500
Total Cost		\$35,455

¹ Prorated server costs are based on the total estimated cost of \$21,500 multiplied by .17 (approximate 1:6 ratio). Total estimated cost (\$21,500) is based on the following setup: Primary Server, Secondary Backup Server, Video Server, and Archiving Server.

Hearing Room – Networked (room may be part of a centralized system directly recording to a server, or have a networked PC or laptop that automatically uploads the recordings to a central repository)

State Costs		
2 channel recording software		\$9,000
2 channel mixer		\$1,000
2 microphones		\$850
1 Video camera		\$1,200
Installation Costs		\$1,000
Prorated backend server storage and services Ratio 1 server for 6 rooms¹	Dedicated primary and secondary server costs at 17%	\$3,655
Subtotal		\$16,705
County Costs		
Wiring	A/V, Network drops	\$600
Subtotal		\$600
Total		\$17,305

¹ Prorated server costs are based on the total estimated cost of \$21,500 multiplied by .17 (approximate 1:6 ratio). Total estimated cost (\$21,500) is based on the following setup: Primary Server, Secondary Backup Server, Video Server, and Archiving Server.

Hearing Room – Standalone (room records locally with a PC or laptop that may or may not be attached to the network for upload of data at a designated time interval)

State Costs		
2 channel recording software		\$9,000
Recording PC or laptop		\$3,400
2 channel mixer		\$1,000
2 microphones		\$850
Installation/setup		\$500
Subtotal		\$14,750
County Costs		
Wiring	Optional network drop	\$200
Subtotal		\$200
Total		\$14,950

Stenography Equipment – Per Stenographer

State Costs (100%)		
Steno machine		\$5,500
Laptop Computer		\$2,200
Steno Software		\$3,500
Portable backup recorder		\$1,100
Transcribe key		\$500
Transcriber software		\$300
Wireless transmitter/receiver		\$300
Total		\$13,400

* Other county obligated items/costs should be determined locally.

Constraints

Due to the variances in room size and vendor approach, these prices were based on specific configurations and may vary slightly from the actual install. Standards cost estimates were determined using current market costs for hardware and software as outlined in the current (2005) ITN. Software costs were estimated using a weighted average for current costs of software. Prices may change based on subsequent ITNs and negotiation of new contracts in the future.

County related technology costs are specified in **Florida Statutes 29.008**. In order to have a viable digital recording system, funding must be available at both county and state levels due to the separation of responsibilities. The sound reinforcement system, and ADA considerations are a county responsibility. Software and equipment dedicated for the purpose of digital recording of court proceedings is a state responsibility. A deficiency in the funding source at the state or county level, may impact the court’s ability to purchase and maintain its digital court recording system.

Recommendation 1B – State and County Obligations – It is recommended that a document be created outlining due process technology funding obligations as defined per Florida Statutes 29.008 so as to clearly delineate between discrete level state and county obligations for planning, budgeting, and auditing purposes. This document should be updated each year to reflect statutory/rule changes.

II. Continued Digital Court Reporting Expansion Plan

Issue: A long term plan for continued digital court reporting technology expansion is needed to guide the trial courts in determining the extent of future expansion of digital court reporting technology.

Recommendation 2A – Future Digital Expansion - For purposes of expanding DCR functionality consistent with the goals and objectives outlined in the Trial Court Performance and Accountability Commission’s February 2005 report, it is recommended the trial courts seek funding to support the purchase and installation of digital court reporting equipment for those courtrooms and hearing rooms that hold proceedings that are required to be recorded at state expense.

Results of a September 2008 trial court survey indicate the trial courts have a remaining statewide total of 133 courtrooms and 39 hearing rooms without digital court reporting capacity. These room figures are reflected in the following table and exclude new construction projects beyond those set for completion during FY 2009-10.

Circuit	Courtrooms	Hearing Rooms	Circuit	Courtrooms	Hearing Rooms
1	3	1	11	29	0
2	11	0	12	0	0
3	0	5	13	11	0
4	12	0	14	0	0
5	8	10	15	12	3
6	8	4	16	0	0
7	2	0	17	27	0
8	0	0	18	0	0
9	0	0	19	4	2
10	0	14	20	6	0
			State Total	133	39

Recommendation 2B – 3 Year Phase In Plan - It is recommended that funding for an additional 133 courtrooms and 39 hearing rooms be requested/allocated using a 3 year phased in approach. This will provide ease for circuits as they deal with budget, staffing, and planning constraints associated with installation. Annual circuit distribution should be based upon circuit requests. If circuit requests exceed the total annual appropriation, allocations should be prioritized based on level of impact to each circuit court’s operation.

Year	Courtrooms	Courtroom Est. Costs	Hearing Rooms	Hearing Room Est. Costs	Total Est. Annual Expansion Cost
1	45	\$1,035,225	13	\$204,464	\$1,239,689
2	44	\$1,012,220	13	\$204,464	\$1,216,684
3	44	\$1,012,220	13	\$204,464	\$1,216,684
Total	133	\$3,059,665	39	\$613,392	\$3,673,057

Note: Costs were estimated based on average standard costs (listed under Recommendation 1). Average standard costs for courtrooms/hearing rooms are: Courtroom \$23,005; Hearing Room \$15,728. These estimates do not include on-going staffing, maintenance or refresh costs.

III. Change Management

Issue: It should be determined when it is reasonable to change vendors, and how hardware and software may be tracked and transferred for another circuit's use.

DCR Vendors. There are circumstances in which circuits have requested to change vendors. Based on the results of an October 2008 survey, we can summarize the main reasons circuits may request to change vendors:

1. Cost effectiveness – current vendor is not as cost effective as other vendor choices.
2. Technical support – current vendor does not provide timely/adequate support resulting in continuous downtime for court proceedings.
3. Budget and pricing – current vendor costs exceed available budget amounts requiring other options to be considered.
4. Software research and development – as continued development of a product is important to long term success, vendors that do not put efforts into improving their software can result in: software becoming static and dated; software being unable to fully engage the benefits of new hardware and peripheral software; and increased costs since legacy parts and support for related software may be expensive or unavailable.
5. Company dissolve – current vendor becomes defunct and the court is now vulnerable due to lack of continued support.

Hardware used from vendor to vendor is fairly consistent. Due to this, as circuits change vendors, investments to purchase hardware are minimally impacted. The majority of costs associated with changing vendors are due to the need to purchase new software licensing. Although, hardware investments may be needed if a circuit is changing from a distributed to a centralized model.

When a vendor has little market competition and already has a sizeable portion of the market, they have little motivation to continue the development of their product, reduce costs, or provide excellent services. Mediocrity is thwarted through competition. Therefore, the ITN should function as the main tool for 1) negotiating reasonable market prices for software licensing and services, 2) providing a mechanism to ensure vendors meet the standards set by the Florida Courts Technology Commission (FCTC) 3) provide a service oriented relationship with the vendor that motivates the vendor to provide excellent services through accountable reporting and review of services, 4) provide means to sanction vendors that are not providing services according to set service levels and associated response times, and 5) provide a mechanism for new vendors and technologies to be introduced to the Florida Court System. As long as the vendor has met the requirements outlined through the ITN process, the circuits will be in the best position to evaluate and match their needs to vendors and the services they provide.

Recommendation 3A – Approved DCR Vendors - Vendors that provide court reporting technology and services must meet the technical and functional standards established by the FCTC. Approved vendors must have been awarded a state contract through the ITN or other official Office of the State Courts Administrator (OSCA) process.

Given the importance of the ITN and Technical and Functional Standards, 1) the OSCA should reevaluate the ITN every 3 years, and 2) the FCTC should set a schedule to update the Court Reporting Technical and Functional Standards.

Recommendation 3B – Changing DCR Vendors - If a circuit wishes to change vendors, it is recommended that the circuit file a special issue request for the TCBC’s consideration/approval.

Software and Hardware Transfers. Software purchased with state funds should be made available (as needed) for usage anywhere in the state. Presently, serial tracking numbers are not being assigned to licenses. Rather, invoices are being relied upon to track purchased licenses. It is recommended that OSCA track purchased licenses and current assignments. As the needs of the circuits change, the licenses may be redistributed accordingly. This will avoid the undue expense of purchasing unnecessary additional licenses, and will allow for the improved utility of licenses already purchased.

There are already procedures in place to document hardware purchases and to request transfer, disposal, or donation of hardware equipment. The transfer of hardware within the state is already tracked with documentation consistent with state property requirements. As state equipment may be used anywhere in the state, location assignments of state purchased hardware should be maintained/updated. County purchased hardware must follow the local county procedures for general assets. For state transfers, the OSCA/ISS should review court reporting equipment related transfers to monitor/ensure equipment is utilized until it reaches the end of its useful life, and that transfers are not conducted as a means to circumvent replacement schedules.

Recommendation 3C – Hardware and Software Transfers – A formal procedure for tracking both state purchased court reporting hardware and software licenses is recommended for purposes of properly managing equipment usage and possible reassignment within the Florida Judicial Branch. Hardware transfers should be monitored by the OSCA/ISS. The OSCA/ASD (Administrative Services Division) should also be notified of transfers so as to make the appropriate adjustments to State property records. Software license transfers should be tracked per the Software Transfer Recommended Methodology outlined in this report (below).

Software Transfer Recommended Methodology:

1. OSCA/ISS must maintain a statewide repository that contains a software license inventory.
2. OSCA/ISS must assign a unique software identification number to each license for tracking purposes. This unique identification will be provided by vendors. Vendors must assign a unique serial number for each license purchased by the Florida Court System.
3. As each circuit frees up licenses that are no longer in use, they must notify OSCA/ISS to identify and release the licenses for redistribution.
4. OSCA/ISS will list the number of licenses available for redistribution on an established web page.
5. Circuits may submit requests for licenses to OSCA/ISS, and requests will be considered on a first come/first serve basis.
6. OSCA will create a process for advanced reservation of available licenses to be reviewed and considered on a case by case basis.

IV. Life Cycle Management

Issue: A guideline for when equipment should be regularly replaced shall be determined, so this cost may be estimated for budgeting purposes.

Hardware Replacement Schedule. After reviewing input from circuits, the following recommended refresh schedule for hardware replacement is provided in the table below. This table contains both state and county obligations related to the overall functionality of a court reporting system.

Recommendation 4A – Hardware Replacement Schedule – A hardware replacement schedule is recommended for the projection of future costs and for the evaluation of circuit funding requests (below).

Hardware Replacement Schedule	
ITEM	SCHEDULE
Servers	
Primary Server – centralized model	3 years
Secondary Server – centralized model	3 years
Primary Server – decentralized model	4-5 years
Secondary Server – decentralized model	4-5 years
Video Server	4 years
Digital A/V	
Digital matrix mixers	6 years
Cameras	5 years
Encoders	6 years
Bench Control Panel	5 years
Handheld Digital Recorder	3 years
Analog A/V	
Microphone	5 years
Tape machine	7 years
Amplifier	7 years
Bench Control Box	7 years
Speakers (sound system)	10 years
Cameras	5 years
Workstations	
Networked Monitoring Workstation	4 years
Transcription Workstations	4 years
Standalone workstation or laptop	3 years
Computer monitors	5 years
Stenograph Equipment	
Stenograph Machine	5 years
Stenograph Laptop	3 years
Stenograph secondary recorder system	3 years
Other Computer Hardware	
UPS (uninterruptible power supply)	3 years
Headsets	2 years
Foot Pedals	4 years

Equipment requests that do not fall within the replacement schedule table should be considered a contingency, and funded through the contingency fund process outlined in the contingency section.

To determine if a recurring statewide fund could be established per the recommended refresh schedule, an analysis of the current technology inventory was performed to try to determine a statewide annual average refresh percentage. Unfortunately, results from this analysis indicate significant disparity in the annual statewide funding needs as per the recommended refresh schedule. Therefore, a recurring statewide fund could not be determined at this time.

Further, since hardware will be refreshed at unbundled rates, it is necessary to obtain inventory and ITN data at discrete levels (comparable to the refresh schedule). Once this information is available, a percentage of initial costs may then be determined to adequately estimate funding for refresh (per annual basis). Funding should be distributed to the circuits based on analysis of the inventory and replacement schedule.

Recommendation 4B – Hardware Replacement Costs – It is recommended that inventory and ITN costs be reported at discrete levels comparable to the refresh schedule (unbundled) so as to better determine refresh costs. Refresh should be based on current industry pricing and as such, a percentage applied to initial costs should be determined. Until such time a percentage can be determined, circuit requests for refresh will be evaluated based on initial hardware costs and the hardware replacement schedule as outlined in this report (above).

Recommendation 4C – Replacement of Analog Tape Recorders – For purposes of refreshing existing equipment consistent with the recommendations as outlined in the TCP&A’s October 2007 report, it is recommended analog tape recorders utilized for the primary recording of proceedings required to be recorded at state expense (upon needing replacement) be replaced by digital recorders.

Software Lifecycles. Software lifecycles are managed through various methods:

1. Software assurance/maintenance – an agreement where software fixes, patches, and upgrades are included for a defined period of time.
2. Enterprise Agreements – similar to software assurance but also allows for alpha and beta testing, and may have other features such as training vouchers, knowledge base for troubleshooting, and a special vendor assistance features.
3. Purchases - purchase of new software licensing to replace existing license

Much of the software used is covered by county software purchases and agreements. The primary state obligated costs for software are specific to digital court recording related licenses.

V. Maintenance

Issue: The approach in which circuits maintain court reporting systems varies across the state depending on the availability of local resources and chosen vendor. A review of each circuit’s court reporting maintenance model should be conducted to determine if opportunities exist to reduce costs.

Maintenance, for purposes of this document, refer to the recurring cost to provide contractual services in order to maintain, repair, patch, and upgrade hardware and software that is used for court reporting technology. After reviewing historical expenditures it appears on-going maintenance costs are approximately 12% to 15% of initial hardware and software costs. This takes into account circuits who more heavily utilize in-house employees (county funded) to offset some of the state costs for maintenance and others who rely more heavily on contracted services (state funded) due to lack of county funded staff. Overall, the use and availability of in-house staff to provide direct or supportive maintenance to hardware and software reduces the recurring costs and improves response time. In-house employees are limited in their capacity to support and maintain proprietary software purchased from a vendor due to intellectual property limitations. Agreements with the vendor are necessary when addressing software related issues. Levels of agreements range from time and materials type maintenance to full service level support contracts with automatic software patches and upgrades. Having disparate maintenance approaches is necessary due to the different levels of local technology support, various types and sizes of court reporting technology systems, and expectations from the local circuit that may be above and beyond the minimum requirements set forth by the court reporting technical and functional standards.

Recommendation 5 – Maintenance - A simple 13% funding formula applied to initial hardware and software costs (excluding installation/training costs) is recommended to assess the required budgetary amount needed to support the maintenance of court reporting technology hardware and software.

VI. Contingency Planning and Funding

Issue: There needs to be a method to deal with unplanned failures or other major events that arise unexpectedly and may not have been adequately budgeted for, which may impact court reporting operations.

Set replacement schedules are a good predictor of future costs, however, they do not cover unexpected contingencies. A funding source should be established to cover contingencies related to power issues, unexpected equipment failures, software failures, or other disrupted event that was unforeseen. If a remaining balance exists towards the end of the fiscal year, these funds may be allocated for expansion purposes, open source development, or other needs identified by the circuits as determined by the TCBC.

The need for contingency funds will increase if proper replacement schedules are not funded.

Recommendation 6 – Contingency Planning and Funding - A break-fix contingency fund of \$100,000 should be obtained (pooled) for all circuits for emergency/unforeseen failures of court reporting technology. To receive an allocation from this fund, circuits will need to file a special issue request for the TCBC's consideration. Allocations should be approved based on similar current operating procedures/TCBC budget policies.

VII. Data Collection and Analysis

Issue: Presently, the method of collecting data on court reporting hardware and software resources has been dependent upon the completion of an excel spreadsheet by each circuit. Upon completion, circuits submit an annual asset inventory in the form of excel spreadsheet to the OSCA for compilation and analysis. OSCA maintains the inventory spreadsheets using SAS (Statistical Analytical Software).

With the development of new technical and budgetary policies as outlined in this document, the methods of data collection will need to be improved so as to create a more conducive platform in which to collect data and conduct more rigorous analyses. Further, with the growing usage of court interpreting technology, the data collection platform should be expanded to capture and maintain data for all due process related technology.

Recommendation 7A – Data Collection and Analysis - It is recommended that a more robust database platform be developed/utilized to collect data related to all due process technology. This platform should allow each circuit to maintain data throughout the year (as dynamic) with an annual certification (data freeze) completed in the spring, so the most current information may be used for the development of the LBR. Data collected should provide the functionality as outlined in this report (below).

Database Functionality:

1. Provide state-wide access for updating and viewing. Access may be controlled by assigning user profiles and access codes.
2. Maintain levels of data that allow for budgetary analysis and assessment of current assets based on age and other factors.
3. Data should include an asset inventory – a basic inventory of hardware and software that may include serial numbers, property numbers, age of equipment, and any related purchasing history that may be used to conduct analysis to estimate the budget for the refresh schedules.
4. Data should include details related to software licenses, so use and assignment of that license may be tracked.
5. Functionality should include standard reports for use by OSCA and the trial courts as well as the ability to provide ad hoc reports as needed.

Issue: Currently, inventory data collection efforts and ITN vendor negotiation processes are being conducted in the fall, which is after the LBR has been submitted.

Recommendation 7B – Timeline for Data Collection and ITN - It is recommended that the annual court reporting technology data certification and ITN processes be conducted (during spring) to correspond with the legislative budget cycle.

VIII. Future Considerations for Cost Efficiencies

Regional Support Staff. As needs for due process technology grow, the issue of state funded technical support may need further examination. Although technology is funded primarily by the counties, there is a distinction in due process areas. Regional technical support to support court reporting systems may be an opportunity to provide specialized skills to a broader

geographic area, and reduce recurring costs. Having regional support may offer faster response times than DCR vendor support contracts, and reduce DCR vendor annual maintenance costs.

Recommendation 8A – State Funded Technical Staff for Due Process Technology Support - If funding becomes available, it is recommended that the TCBC consider approving requests for additional funding in support of regional technical support staff.

Open Source Software. There are many advantages to open source software. The primary benefit is lower costs for licensing. The only costs associated with open systems include software change management and may involve some contracted services to maintain and improve the software code. Another benefit is that the application may be shared with other states, which may in turn also share in the cost and effort towards maintaining the software.

Cost Benefit Analysis (778 Courtrooms; 214 Hearing Rooms)

Investment	Proprietary Software		Open Source Software	
	Average Per Room Cost	Estimated Total Costs (778 Courtrooms; 214 Hearing Rooms)	Estimated Total Costs (778 Courtrooms; 214 Hearing Rooms)	Return on Investment
Initial Purchase Cost (Non-Recurring)	\$10,500 Courtroom; \$9,000 Hearing Room	\$10,095,000	\$150,000 (two year cost for development)	\$9,795,000 (after two years)
Maintenance and Upgrade Costs (Annual Recurring Cost)	\$1,365 Courtroom; \$1,170 Hearing Room (13% of initial purchase cost)	\$1,312,350	\$200,000 (annual for contract consultants or programmer 3 FTE)	\$1,112,350

Note: Total Rooms (778 Courtrooms; 214 Hearing Rooms) is based on Number of Courtrooms (645)/Hearing Rooms (175) Integrated with Digital Court Reporting as reported by the circuits via the *Court Reporting Circuit Profiles, February 2007* and Number of Courtrooms (133)/Hearing Rooms (39) remaining to be outfitted with digital capacity as listed under Recommendation 2.

Recommendation 8B – Open Source Software Development - It is recommended that the development of open source software be permitted contingent upon open source software being developed based on the principles outlined in this report (below).

“Open source is a development method for software that harnesses the power of distributed peer review and transparency of process. The promise of open source is better quality, higher reliability, more flexibility, lower cost, and an end to predatory vendor lock-in.” (Source).

Tenets of Open Source are listed below (Coar):

1. Free Redistribution

The license shall not restrict any party from selling or giving away the software as a component of an aggregate software distribution containing programs from several different sources. The license shall not require a royalty or other fee for such sale.

2. Source Code

The program must include source code, and must allow distribution in source code as well as compiled form. Where some form of a product is not distributed with source code, there must be a well-publicized means of obtaining the source code for no more than a reasonable reproduction cost preferably, downloading via the Internet without charge. The source code must be the preferred form in which a programmer would modify the program. Deliberately obfuscated source code is not allowed. Intermediate forms such as the output of a preprocessor or translator are not allowed.

3. Derived Works

The license must allow modifications and derived works, and must allow them to be distributed under the same terms as the license of the original software.

4. Integrity of the Author's Source Code

The license may restrict source-code from being distributed in modified form only if the license allows the distribution of "patch files" with the source code for the purpose of modifying the program at build time. The license must explicitly permit distribution of software built from modified source code. The license may require derived works to carry a different name or version number from the original software.

5. No Discrimination Against Persons or Groups

The license must not discriminate against any person or group of persons.

6. No Discrimination Against Fields of Endeavor

The license must not restrict anyone from making use of the program in a specific field of endeavor. For example, it may not restrict the program from being used in a business, or from being used for genetic research.

7. Distribution of License

The rights attached to the program must apply to all to whom the program is redistributed without the need for execution of an additional license by those parties.

8. License Must Not Be Specific to a Product

The rights attached to the program must not depend on the program's being part of a particular software distribution. If the program is extracted from that distribution and used or distributed within the terms of the program's license, all parties to whom the program is redistributed should have the same rights as those that are granted in conjunction with the original software distribution.

9. License Must Not Restrict Other Software

The license must not place restrictions on other software that is distributed along with the licensed software. For example, the license must not insist that all other programs distributed on the same medium must be open-source software.

10. License Must Be Technology-Neutral

No provision of the license may be predicated on any individual technology or style of interface.

Bibliography

Coar, Ken. "The Open Source Definition." 7 July 2007. Open Source Initiative. 31 October 2008 <<http://www.opensource.org/docs/osd>>.

Source, Open. "Open Source Initiative." 2007. Open Source. 31 October 2008 <<http://www.opensource.org/>>.

APPENDIX C

CBAForm 1 - Net Tangible Benefits

Agency	<u>State Courts System</u>	Project	<u>Court Reporting Services</u>
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Operations Only -- No Project Costs)</i>	FY 2014-15			FY 2015-16			FY 2016-17			FY 2017-18			FY 2018-19		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$4,227,048	(\$1,578,591)	\$2,648,457	\$4,449,897	(\$1,625,949)	\$2,823,948	\$4,583,394	(\$1,674,727)	\$2,908,666	\$4,720,895	(\$1,724,969)	\$2,995,926	\$4,862,522	(\$1,776,718)	\$3,085,804
A.b Total FTE	63.00	31.50	94.50	63.00	31.50	94.50	63.00	31.50	94.50	63.00	31.50	94.50	63.00	31.50	94.50
A-1.a. State FTEs (Salaries & Benefits)	\$4,227,048	(\$1,578,591)	\$0	\$4,449,897	(\$1,625,949)	\$0	\$4,583,394	(\$1,674,727)	\$2,908,666	\$4,720,895	(\$1,724,969)	\$0	\$4,862,522	(\$1,776,718)	\$0
A-1.b. State FTEs (# FTEs)	63.00	31.50	94.50	63.00	31.50	94.50	63.00	31.50	94.50	63.00	31.50	94.50	63.00	31.50	94.50
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs (including PDC services)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$19,122,360	(\$9,371,318)	\$9,751,042	\$10,771,578	(\$9,652,458)	\$1,119,121	\$11,094,726	(\$9,942,031)	\$1,152,694	\$11,427,567	(\$10,240,292)	\$1,187,275	\$11,770,394	(\$10,547,501)	\$1,222,893
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other Specify 187 FTE Reclasse: 98 FTE New	\$19,122,360	(\$9,371,318)	\$9,751,042	\$10,771,578	(\$9,652,458)	\$1,119,121	\$11,094,726	(\$9,942,031)	\$1,152,694	\$11,427,567	(\$10,240,292)	\$1,187,275	\$11,770,394	(\$10,547,501)	\$1,222,893
Total of Operational Costs (Rows A through E)	\$23,349,408	(\$10,949,909)	\$12,399,499	\$15,221,475	(\$11,278,406)	\$3,943,069	\$15,678,119	(\$11,616,758)	\$4,061,361	\$16,148,463	(\$11,965,261)	\$4,183,202	\$16,632,917	(\$12,324,219)	\$4,308,698
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. Specify		\$0			\$0			\$0			\$0			\$0	
F-2. Specify		\$0			\$0			\$0			\$0			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$10,949,909			\$11,278,406			\$11,616,758			\$11,965,261			\$12,324,219	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input checked="" type="checkbox"/>	Confidence Level	10%

A	B		C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	
1	State Courts System		Court Reporting Services		CBA Form 2A Baseline Project Budget																
2	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				FY2014-15			FY2015-16			FY2016-17			FY2017-18			FY2018-19			TOTAL	
3					\$ 6,253,129			\$ 105,240			\$ -			\$ -			\$ -			\$ 6,358,369	
4	Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project- Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
9	Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
12	Hardware purchases not included in Primary Data Center services.	Hardware	ODPS	\$ -		\$ 5,920,801	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 5,920,801	
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
16	Include the quote received from the PDC for project equipment and services. Only include one-time project costs in this row. Recurring, project-related PDC costs are included in CBA Form 1A.	Data Center Services - One Time Costs	PDC Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
17	Other services not included in other categories.	Other Services	ODPS	\$ -		\$ 332,328	\$ -		\$ 105,240	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 437,568	
18	Include costs for non-PDC equipment required by the project and the proposed solution (detail)	Equipment	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
21	Total				\$ -	0.00	\$ 6,253,129	\$ -	0.00	\$ 105,240	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 6,358,369

CBAForm 2 - Project Cost Analysis

Agency	<u>State Courts System</u>	Project		<u>Court Reporting Services</u>
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<i>PROJECT COST SUMMARY</i>	<i>PROJECT COST SUMMARY (from CBAForm 2A)</i>					TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	
TOTAL PROJECT COSTS (*)	\$6,253,129	\$105,240	\$0	\$0	\$0	\$6,358,369
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$6,253,129	\$6,358,369	\$6,358,369	\$6,358,369	\$6,358,369	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

<i>PROJECT FUNDING SOURCES</i>	<i>PROJECT FUNDING SOURCES - CBAForm 2B</i>					TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	
General Revenue	\$6,253,129	\$105,240	\$0	\$0	\$0	\$6,358,369
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$6,253,129	\$105,240	\$0	\$0	\$0	\$6,358,369
CUMULATIVE INVESTMENT	\$6,253,129	\$6,358,369	\$6,358,369	\$6,358,369	\$6,358,369	

<i>Characterization of Project Cost Estimate - CBAForm 2C</i>			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level		
Placeholder	Confidence Level		

CBAForm 3 - Project Investment Summary

Agency	<u>State Courts System</u>	Project	<u>Court Reporting Services</u>
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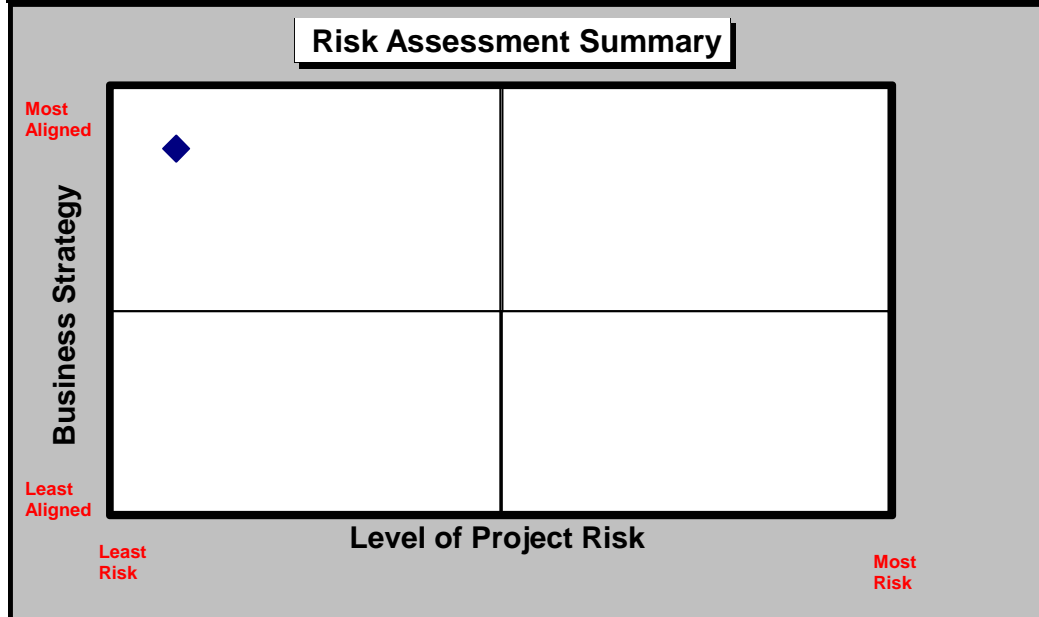
<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	TOTAL FOR ALL YEARS
Project Cost	\$6,253,129	\$105,240	\$0	\$0	\$0	\$6,358,369
Net Tangible Benefits	\$10,949,909	\$11,278,406	\$11,616,758	\$11,965,261	\$12,324,219	\$58,134,554
Return on Investment	\$4,696,780	\$11,173,166	\$11,616,758	\$11,965,261	\$12,324,219	\$51,776,185
Year to Year Change in Program Staffing	32	32	32	32	32	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2014-15	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$45,736,063	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

APPENDIX D

Project	<i>Court Reporting Services</i>	
Agency	<i>State Courts System - Trial Courts</i>	
FY 2014-15 LBR Issue Code:	FY 2014-15 LBR Issue Title:	
<i>5302000</i>	<i>Court Reporting</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Patty Harris, 850-410-1236 harrisp@flcourts.org</i>		
Executive Sponsor	<i>Supreme Court of Florida</i>	
Project Manager	<i>Trial Courts</i>	
Prepared By	<i>Patty Harris</i>	<i>9/26/2013</i>



Project Risk Area Breakdown	
Risk Assessment Areas	Risk Exposure
Strategic Assessment	LOW
Technology Exposure Assessment	LOW
Organizational Change Management Assessment	LOW
Communication Assessment	LOW
Fiscal Assessment	LOW
Project Organization Assessment	LOW
Project Management Assessment	LOW
Project Complexity Assessment	MEDIUM
Overall Project Risk	
LOW	

Agency: State Courts System - Trial Courts

Project: Court Reporting Services

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Legislation or proposed rule change is drafted
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: State Courts System - Trial Courts

Project: Court Reporting Services

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: State Courts System - Trial Courts

Project: Court Reporting Services

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	No
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Over 10% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	All or nearly all messages are documented
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

Agency: State Courts System - Trial Courts

Project: Court Reporting Services

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	Yes
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	81% to 100% -- All or nearly all defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Between \$2 M and \$10 M
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Detailed and rigorous (accurate within ±10%)
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	Within 1 year
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Firm Fixed Price (FFP)
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined Purchase all hardware and software at start of project to take advantage of one-time discounts Just-in-time purchasing of hardware and software is documented in the project schedule	Just-in-time purchasing of hardware and software is documented in the project schedule
5.14	Has a contract manager been assigned to this project?	No contract manager assigned Contract manager is the procurement manager Contract manager is the project manager Contract manager assigned is not the procurement manager or the project manager	Contract manager is the procurement manager
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes No	Yes
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified Some selection criteria and outcomes have been defined and documented All or nearly all selection criteria and expected outcomes have been defined and documented	All or nearly all selection criteria and expected outcomes have been defined and documented
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed Multi-stage evaluation not planned/used for procurement Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed No, bid response did/will not require proof of concept or prototype Yes, bid response did/will include proof of concept or prototype Not applicable	Not applicable

Agency: State Courts System - Trial Courts

Project: Court Reporting Services

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: State Courts System - Trial Courts Project: Court Reporting Services

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	81% to 100% -- All or nearly all have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Agency: State Courts System - Trial Courts

Project: Court Reporting Services

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	9 to 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	2 to 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

APPENDIX E

Court Reporting Statistics
First Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Escambia	Digital A/V	03-04	10	9
		04-05	9	12
		05-06	8	25
		06-07	7	6
	Handheld	06-07	7	11
	Infrastructure	03-04	10	1
		05-06	8	3
		06-07	7	8
	Primary Server	03-04	10	2
		05-06	8	6
	Real-Time Hardware	05-06	8	4
		06-07	7	3
	Secondary Server	03-04	10	2
		05-06	8	5
		06-07	7	1
	Standalone Workstation	06-07	7	1
	Stenographic Hardware	02-03	11	1
		05-06	8	7
		06-07	7	2
10-11		3	4	
Transcription Workstation	05-06	8	21	
Okaloosa	Digital A/V	03-04	10	2
		05-06	8	8
		06-07	7	8
		10-11	3	20
	Handheld	06-07	7	11
	Infrastructure	03-04	10	1
		05-06	8	2
		06-07	7	1
		10-11	3	3
	Primary Server	03-04	10	1
		05-06	8	4
		10-11	3	2
	Real-Time Hardware	05-06	8	2
		06-07	7	2
	Secondary Server	03-04	10	1
		05-06	8	2
		06-07	7	1
		10-11	3	1
	Stenographic Hardware	02-03	11	2
		04-05	9	2
		10-11	3	2
	Transcription Workstation	05-06	8	4

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Santa Rosa	Digital A/V	05-06	8	16
	Handheld	06-07	7	14
	Infrastructure	05-06	8	1
		06-07	7	2
	Primary Server	05-06	8	2
	Real-Time Hardware	06-07	7	1
	Secondary Server	05-06	8	1
		06-07	7	1
	Stenographic Hardware	Prior to 01-02	13	3
		06-07	7	1
		10-11	3	2
Transcription Workstation	05-06	8	4	
Walton	Handheld	06-07	7	2
	Infrastructure	06-07	7	2
	Secondary Server	06-07	7	1
	Stenographic Hardware	Prior to 01-02	13	1
		05-06	8	1
		10-11	3	1
	Transcription Workstation	04-05	9	2
		06-07	7	4

**Court Reporting Statistics
Second Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Franklin	Primary Server	06-07	7	2
Gadsden	Analog A/V	Prior to 01-02	13	2
	Other Digital Computer Hardware	12-13	1	2
	Primary Server	06-07	7	2
		12-13	1	1
Jefferson	Analog A/V	Prior to 01-02	13	1
	Primary Server	Prior to 01-02	13	1
Leon	Analog A/V	Prior to 01-02	13	9
	Digital A/V	03-04	10	2
		04-05	9	2
		05-06	8	4
	Infrastructure	03-04	10	1
		05-06	8	1
	Other Digital Computer Hardware	12-13	1	10
	Primary Server	04-05	9	1
		06-07	7	1
		07-08	6	2
		09-10	4	6
		12-13	1	12
	Real-Time Hardware	03-04	10	8
		05-06	8	9
	Secondary Server	04-05	9	1
		05-06	8	1
		08-09	5	1
09-10		4	1	
Standalone Workstation	06-07	7	1	
Video Server	05-06	8	1	
Liberty	Analog A/V	Prior to 01-02	13	1
	Primary Server	07-08	6	1
Wakulla	Analog A/V	Prior to 01-02	13	2
	Primary Server	06-07	7	2
		12-13	1	1

Court Reporting Statistics
Third Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Columbia	Analog A/V	07-08	6	1
	Digital A/V	05-06	8	6
		06-07	7	3
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	07-08	6	1
		12-13	1	8
	Primary Server	05-06	8	1
		11-12	2	2
	Real-Time Hardware	04-05	9	1
		06-07	7	1
	Secondary Server	05-06	8	2
	Standalone Workstation	05-06	8	2
Stenographic Hardware	Prior to 01-02	13	2	
	05-06	8	1	
Dixie	Analog A/V	07-08	6	1
	Digital A/V	05-06	8	2
		06-07	7	1
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	07-08	6	1
		12-13	1	4
	Primary Server	05-06	8	1
Secondary Server	05-06	8	1	
Hamilton	Digital A/V	05-06	8	2
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	12-13	1	2
	Primary Server	05-06	8	1
	Secondary Server	05-06	8	1
Lafayette	Digital A/V	05-06	8	2
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	12-13	1	2
	Primary Server	05-06	8	1
	Secondary Server	05-06	8	1
Madison	Digital A/V	05-06	8	2
		06-07	7	1
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	12-13	1	3
	Primary Server	05-06	8	1
	Secondary Server	05-06	8	1

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Suwannee	Analog A/V	06-07	7	1
	Digital A/V	05-06	8	3
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	12-13	1	5
	Primary Server	05-06	8	1
	Real-Time Hardware	04-05	9	1
		06-07	7	1
	Secondary Server	05-06	8	1
	Standalone Workstation	03-04	10	1
Stenographic Hardware	05-06	8	1	
Taylor	Digital A/V	05-06	8	3
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	12-13	1	3
	Primary Server	05-06	8	1
	Secondary Server	05-06	8	1

Court Reporting Statistics
Fourth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Clay	Digital A/V	05-06	8	13
		06-07	7	19
		07-08	6	4
		09-10	4	26
	Infrastructure	05-06	8	5
		06-07	7	17
		08-09	5	3
		09-10	4	1
	Other Digital Computer Hardware	05-06	8	2
		06-07	7	7
		08-09	5	2
		09-10	4	24
	Primary Server	08-09	5	1
	Secondary Server	08-09	5	2
	Standalone Workstation	05-06	8	6
		06-07	7	4
Video Server	08-09	5	1	
Duval	Digital A/V	04-05	9	4
		06-07	7	7
		07-08	6	2
		08-09	5	4
		10-11	3	99
	Infrastructure	04-05	9	3
		08-09	5	10
	Other Digital Computer Hardware	04-05	9	18
		07-08	6	2
		08-09	5	13
		10-11	3	43
	Primary Server	08-09	5	4
	Secondary Server	04-05	9	1
		08-09	5	4
	Standalone Workstation	04-05	9	17
		06-07	7	3
		08-09	5	2

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Nassau	Digital A/V	04-05	9	2
		05-06	8	1
		08-09	5	4
		10-11	3	3
	Infrastructure	08-09	5	2
	Other Digital Computer Hardware	04-05	9	2
		06-07	7	2
		08-09	5	5
	Primary Server	08-09	5	1
	Secondary Server	08-09	5	2
	Standalone Workstation	04-05	9	2
		08-09	5	2
		10-11	3	1

**Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Citrus	Analog A/V	05-06	8	2
		06-07	7	1
		07-08	6	2
		08-09	5	1
		09-10	4	1
	Digital A/V	03-04	10	1
		05-06	8	9
		06-07	7	1
	Digital A/V	08-09	5	1
	Handheld	05-06	8	6
	Infrastructure	05-06	8	4
		06-07	7	3
		07-08	6	2
		08-09	5	1
	Other Digital Computer Hardware	05-06	8	4
		10-11	3	1
	Primary Server	08-09	5	1
Secondary Server	08-09	5	1	
Standalone Workstation	03-04	10	1	
Video Server	08-09	5	1	
Hernando	Analog A/V	Prior to 01-02	13	1
		04-05	9	1
		06-07	7	1
	Digital A/V	04-05	9	9
		08-09	5	1
	Handheld	05-06	8	9
	Infrastructure	04-05	9	4
		05-06	8	5
		06-07	7	1
	Other Digital Computer Hardware	04-05	9	3
	Primary Server	07-08	6	1
	Secondary Server	07-08	6	1
	Standalone Workstation	03-04	10	1
		04-05	9	1
Video Server	07-08	6	1	

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Lake	Analog A/V	04-05	9	8
		06-07	7	4
	Digital A/V	04-05	9	3
	Handheld	04-05	9	13
	Infrastructure	04-05	9	3
		05-06	8	5
		06-07	7	1
		08-09	5	1
	Other Digital Computer Hardware	04-05	9	5
		06-07	7	1
	Primary Server	06-07	7	2
		08-09	5	1
	Secondary Server	06-07	7	1
		08-09	5	1
	Video Server	08-09	5	1
Marion	Analog A/V	03-04	10	13
		04-05	9	1
		06-07	7	1
		07-08	6	2
		08-09	5	11
	Digital A/V	03-04	10	3
	Handheld	05-06	8	9
		06-07	7	1
	Infrastructure	03-04	10	1
		04-05	9	10
		05-06	8	2
		06-07	7	1
		07-08	6	2
		08-09	5	21
		09-10	4	11
	Other Digital Computer Hardware	03-04	10	8
		05-06	8	1
		06-07	7	1
		08-09	5	12
	Primary Server	06-07	7	2
		08-09	5	2
	Secondary Server	06-07	7	1
	Standalone Workstation	03-04	10	5
		06-07	7	3
	Video Server	06-07	7	2
		08-09	5	2

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Sumter	Analog A/V	04-05	9	3
		06-07	7	2
		07-08	6	2
	Digital A/V	04-05	9	3
		08-09	5	1
	Handheld	05-06	8	3
	Infrastructure	05-06	8	1
		06-07	7	2
		09-10	4	1
	Other Digital Computer Hardware	06-07	7	2
		09-10	4	1
	Primary Server	09-10	4	1
	Secondary Server	09-10	4	1
	Video Server	09-10	4	1

**Court Reporting Statistics
Sixth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Pasco	Analog A/V	04-05	9	3
	Digital A/V	04-05	9	2
	Handheld	06-07	7	3
	Other Digital Computer Hardware	04-05	9	31
		06-07	7	49
		07-08	6	24
		11-12	2	5
	Primary Server	09-10	4	1
		10-11	3	3
	Secondary Server	09-10	4	1
	Stenographic Hardware	04-05	9	6
		05-06	8	3
		10-11	3	3
		12-13	1	3
	Video Server	06-07	7	2
		09-10	4	1
Pinellas	Analog A/V	04-05	9	10
		05-06	8	22
	Digital A/V	10-11	3	3
	Handheld	05-06	8	7
	Infrastructure	10-11	3	3
	Other Digital Computer Hardware	03-04	10	21
		04-05	9	51
		05-06	8	5
		06-07	7	3
		07-08	6	38
		08-09	5	7
		09-10	4	3
		10-11	3	11
		11-12	2	12
		12-13	1	2
	Primary Server	07-08	6	2
		08-09	5	1
		10-11	3	1
	Secondary Server	07-08	6	2
		08-09	5	1
		10-11	3	1
	Stenographic Hardware	04-05	9	14
		10-11	3	12
12-13		1	2	
Video Server	08-09	5	1	
	10-11	3	4	

**Court Reporting Statistics
Seventh Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Flagler	Digital A/V	06-07	7	1
	Handheld	07-08	6	1
	Other Digital Computer Hardware	06-07	7	1
		07-08	6	5
	Primary Server	06-07	7	1
	Real-Time Hardware	08-09	5	3
	Secondary Server	06-07	7	1
	Stenographic Hardware	08-09	5	3
	Video Server	06-07	7	1
Putnam	Handheld	07-08	6	1
	Infrastructure	03-04	10	2
	Other Digital Computer Hardware	04-05	9	1
		10-11	3	7
	Primary Server	10-11	3	1
	Standalone Workstation	05-06	8	2
		06-07	7	1
		10-11	3	3
St. Johns	Handheld	07-08	6	1
		08-09	5	2
	Infrastructure	05-06	8	1
	Other Digital Computer Hardware	04-05	9	1
		05-06	8	6
		06-07	7	2
		10-11	3	8
	Primary Server	10-11	3	1
	Secondary Server	10-11	3	1
	Standalone Workstation	06-07	7	1
		10-11	3	3
	Stenographic Hardware	07-08	6	1
	Video Server	10-11	3	1

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Volusia	Analog A/V	06-07	7	1
	Digital A/V	04-05	9	1
		05-06	8	1
		06-07	7	1
	Infrastructure	06-07	7	1
	Other Digital Computer Hardware	02-03	11	1
		03-04	10	2
		04-05	9	3
		05-06	8	13
		06-07	7	13
		07-08	6	1
	Primary Server	10-11	3	6
		05-06	8	1
		08-09	5	1
	Secondary Server	10-11	3	1
		05-06	8	1
		08-09	5	1
	Standalone Workstation	10-11	3	2
		06-07	7	4
		03-04	10	1
	Transcription Workstation	06-07	7	4
		03-04	10	1
		04-05	9	2
05-06		8	3	
Video Server	06-07	7	1	
	10-11	3	2	
	04-05	9	2	

**Court Reporting Statistics
Eighth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Alachua	Analog A/V	02-03	11	1
		03-04	10	11
		04-05	9	10
		05-06	8	1
	Other Digital Computer Hardware	04-05	9	1
	Primary Server	08-09	5	2
		10-11	3	22
		12-13	1	1
	Secondary Server	07-08	6	1
	Stenographic Hardware	Prior to 01-02	13	1
		03-04	10	2
		05-06	8	5
08-09		5	5	
Baker	Analog A/V	05-06	8	4
		08-09	5	1
	Primary Server	08-09	5	1
		10-11	3	4
Secondary Server	10-11	3	1	
Bradford	Analog A/V	03-04	10	6
	Other Digital Computer Hardware	05-06	8	1
	Primary Server	10-11	3	5
	Secondary Server	10-11	3	1
Gilchrist	Analog A/V	06-07	7	2
		07-08	6	9
	Primary Server	10-11	3	5
	Secondary Server	10-11	3	1
Levy	Analog A/V	04-05	9	5
	Other Digital Computer Hardware	04-05	9	1
	Primary Server	10-11	3	4
	Secondary Server	10-11	3	1
	Stenographic Hardware	08-09	5	1
Union	Analog A/V	05-06	8	4
	Primary Server	10-11	3	3
	Secondary Server	10-11	3	1

**Court Reporting Statistics
Ninth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Orange	Analog A/V	05-06	8	6
	Digital A/V	02-03	11	4
		05-06	8	1
		08-09	5	16
		11-12	2	4
	Infrastructure	04-05	9	2
		05-06	8	74
		06-07	7	4
		07-08	6	11
	Other Digital Computer Hardware	04-05	9	3
		05-06	8	1
	Primary Server	06-07	7	44
		11-12	2	6
	Secondary Server	04-05	9	2
		06-07	7	1
	Standalone Workstation	06-07	7	4

**Court Reporting Statistics
Tenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hardee	Analog A/V	10-11	3	12
	Digital A/V	05-06	8	3
		07-08	6	1
		09-10	4	17
		10-11	3	9
		11-12	2	2
		04-05	9	3
	Other Digital Computer Hardware	05-06	8	2
		06-07	7	1
	Primary Server	04-05	9	1
		09-10	4	3
		04-05	9	2
	Secondary Server	06-07	7	1
		09-10	4	2
		04-05	9	1
	Standalone Workstation	07-08	6	1
		08-09	5	1
11-12		2	4	
04-05		9	7	
Highlands	Analog A/V	05-06	8	5
		10-11	3	42
		04-05	9	1
	Digital A/V	05-06	8	1
		06-07	7	1
		08-09	5	2
		09-10	4	56
		10-11	3	16
		11-12	2	14
		04-05	9	2
	Infrastructure	06-07	7	1
		08-09	5	1
	Other Digital Computer Hardware	08-09	5	1
		09-10	4	1
		10-11	3	1
	Primary Server	06-07	7	1
		08-09	5	1
		09-10	4	1
	Secondary Server	10-11	3	9
		04-05	9	2
		07-08	6	1
		11-12	2	1

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Polk	Analog A/V	05-06	8	4
		06-07	7	8
		07-08	6	18
	Digital A/V	01-02	12	9
		06-07	7	11
		07-08	6	18
		08-09	5	46
		09-10	4	73
		10-11	3	16
		Infrastructure	01-02	12
	04-05		9	2
	06-07		7	1
	Other Digital Computer Hardware	01-02	12	8
		02-03	11	2
		04-05	9	4
	Primary Server	05-06	8	4
		06-07	7	1
		09-10	4	1
	Secondary Server	06-07	7	1
		09-10	4	1
		10-11	3	2
	Standalone Workstation	04-05	9	1
		07-08	6	1
08-09		5	1	

**Court Reporting Statistics
Eleventh Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Miami-Dade	Digital A/V	07-08	6	1
		86/06	13	1
	Handheld	06-07	7	3
	Infrastructure	10-11	3	58
	Other Digital Computer Hardware	02-03	11	3
		04-05	9	12
		05-06	8	1
		06-07	7	28
		10-11	3	8
	Primary Server	10-11	3	1
	Real-Time Hardware	10-11	3	89
	Standalone Workstation	02-03	11	2
		04-05	9	11
		06-07	7	2
		10-11	3	19
	Stenographic Hardware	09-10	4	1

**Court Reporting Statistics
Twelfth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
DeSoto	Digital A/V	05-06	8	4
	Other Digital Computer Hardware	05-06	8	2
		10-11	3	4
	Primary Server	05-06	8	1
		10-11	3	1
	Secondary Server	05-06	8	1
		10-11	3	1
	Video Server	05-06	8	1
10-11		3	1	
Manatee	Digital A/V	05-06	8	2
		07-08	6	25
	Other Digital Computer Hardware	07-08	6	1
		07-08	6	1
	Primary Server	05-06	8	2
		07-08	6	4
	Secondary Server	07-08	6	2
	Standalone Workstation	05-06	8	2
Stenographic Hardware	06-07	7	4	
Video Server	07-08	6	4	
Sarasota	Digital A/V	03-04	10	22
		06-07	7	3
	Other Digital Computer Hardware	05-06	8	4
		09-10	4	21
	Primary Server	09-10	4	6
	Secondary Server	09-10	4	4
	Standalone Workstation	04-05	9	2
	Stenographic Hardware	06-07	7	4
Video Server	09-10	4	4	

**Court Reporting Statistics
Thirteenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hillsborough	Analog A/V	02-03	11	14
		04-05	9	15
		05-06	8	330
		06-07	7	76
		08-09	5	70
	Digital A/V	02-03	11	1
		03-04	10	4
		04-05	9	23
		05-06	8	2
		06-07	7	141
		07-08	6	12
		08-09	5	19
		09-10	4	10
		10-11	3	7
		11-12	2	6
	Handheld	04-05	9	1
		05-06	8	1
		06-07	7	9
		08-09	5	10
		11-12	2	5
	Infrastructure	03-04	10	3
		05-06	8	20
		06-07	7	135
		07-08	6	3
		09-10	4	19
		10-11	3	74
		11-12	2	128
	Other Digital Computer Hardware	03-04	10	1
		04-05	9	1
		05-06	8	19
		06-07	7	12
	Primary Server	02-03	11	53
		04-05	9	4
		06-07	7	4
	Real-Time Hardware	08-09	5	12
		09-10	4	1
11-12		2	13	
Secondary Server	02-03	11	2	
	03-04	10	1	
	04-05	9	14	
	06-07	7	32	
	08-09	5	25	

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hillsborough	Stenographic Hardware	03-04	10	1
		06-07	7	2
		10-11	3	16
		11-12	2	9
		12-13	1	71
	Transcription Workstation	08-09	5	34
	Video Server	03-04	10	1
		06-07	7	1

**Court Reporting Statistics
Fourteenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Bay	Digital A/V	01-02	12	2
		03-04	10	2
		04-05	9	16
		06-07	7	75
		08-09	5	10
		09-10	4	3
	Handheld	06-07	7	20
	Infrastructure	04-05	9	5
		06-07	7	95
		07-08	6	5
	Other Digital Computer Hardware	01-02	12	1
		04-05	9	2
		05-06	8	9
		06-07	7	44
		08-09	5	14
	Primary Server	04-05	9	1
		05-06	8	1
		06-07	7	6
		08-09	5	2
		09-10	4	8
	Secondary Server	05-06	8	1
		06-07	7	1
		08-09	5	2
	Standalone Workstation	04-05	9	1
		06-07	7	3
		09-10	4	3
	Stenographic Hardware	06-07	7	11
Transcription Workstation	05-06	8	1	
	08-09	5	4	
Video Server	08-09	5	1	
Calhoun	Digital A/V	04-05	9	4
		05-06	8	1
		06-07	7	7
		08-09	5	1
	Infrastructure	05-06	8	1
		06-07	7	1
	Other Digital Computer Hardware	05-06	8	3
		06-07	7	1
		08-09	5	1
	Primary Server	08-09	5	1
		09-10	4	2
	Stenographic Hardware	06-07	7	3
	Transcription Workstation	09-10	4	1

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Gulf	Digital A/V	03-04	10	3
		06-07	7	4
		09-10	4	3
	Primary Server	09-10	4	3
Holmes	Digital A/V	04-05	9	7
		06-07	7	4
		08-09	5	3
	Infrastructure	06-07	7	2
	Other Digital Computer Hardware	06-07	7	1
	Primary Server	08-09	5	1
		09-10	4	1
Secondary Server	09-10	4	1	
Jackson	Digital A/V	04-05	9	6
		06-07	7	8
		08-09	5	3
		09-10	4	1
	Infrastructure	04-05	9	1
		06-07	7	2
	Other Digital Computer Hardware	06-07	7	2
	Primary Server	08-09	5	1
		09-10	4	2
	Secondary Server	08-09	5	1
Washington	Digital A/V	04-05	9	5
		06-07	7	5
		08-09	5	2
	Infrastructure	06-07	7	5
	Other Digital Computer Hardware	06-07	7	1
	Primary Server	08-09	5	1
		09-10	4	3

**Court Reporting Statistics
Fifteenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Palm Beach	Digital A/V	02-03	11	1
		04-05	9	1
		05-06	8	21
		06-07	7	36
		08-09	5	1
		09-10	4	37
		10-11	3	2
		12-13	1	2
	Infrastructure	Prior to 01-02	13	1
		01-02	12	2
		02-03	11	1
		06-07	7	1
		09-10	4	8
		10-11	3	4
	Other Digital Computer Hardware	Prior to 01-02	13	1
		05-06	8	5
		06-07	7	3
	Primary Server	01-02	12	2
		04-05	9	5
		05-06	8	7
		06-07	7	4
		08-09	5	2
		09-10	4	28
		10-11	3	3
		11-12	2	13
	Secondary Server	06-07	7	1
		09-10	4	2
		10-11	3	3
	Standalone Workstation	02-03	11	1
10-11		3	1	
Stenographic Hardware	05-06	8	14	
	09-10	4	12	
Video Server	09-10	4	1	

**Court Reporting Statistics
Sixteenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Monroe	Analog A/V	01-02	12	1
		02-03	11	1
		03-04	10	1
		04-05	9	3
		07-08	6	4
		08-09	5	7
		09-10	4	3
		12-13	1	1
	Handheld	04-05	9	16
	Other Digital Computer Hardware	04-05	9	3
		05-06	8	8
		07-08	6	2
	Primary Server	05-06	8	1
	Standalone Workstation	04-05	9	3
		05-06	8	1
		06-07	7	3
	Stenographic Hardware	Prior to 01-02	13	3
		08-09	5	3
	Transcription Workstation	04-05	9	1
		Prior to 01-02	13	1
		05-06	8	2
07-08		6	1	
12-13		1	1	

**Court Reporting Statistics
Seventeenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Broward	Digital A/V	02-03	11	46
		03-04	10	14
		04-05	9	10
		05-06	8	1
		06-07	7	1
		07-08	6	6
		09-10	4	7
		12-13	1	4
	Infrastructure	06-07	7	1
	Other Digital Computer Hardware	02-03	11	4
	Primary Server	03-04	10	3
		06-07	7	7
	Secondary Server	02-03	11	3
		03-04	10	3
	Standalone Workstation	02-03	11	2
		04-05	9	1
	Stenographic Hardware	02-03	11	1
	Video Server	06-07	7	2
		10-11	3	6

**Court Reporting Statistics
Eighteenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased	
Brevard	Digital A/V	04-05	9	4	
		05-06	8	11	
		06-07	7	9	
		07-08	6	2	
		08-09	5	2	
		09-10	4	2	
		10-11	3	6	
		11-12	2	14	
	Handheld	05-06	8	2	
		06-07	7	2	
	Other Digital Computer Hardware	03-04	10	2	
		04-05	9	1	
		05-06	8	41	
		06-07	7	11	
		07-08	6	7	
		08-09	5	2	
	Seminole	Analog A/V	Prior to 01-02	13	1
		Digital A/V	02-03	11	5
03-04			10	9	
04-05			9	5	
07-08			6	6	
08-09			5	4	
Other Digital Computer Hardware		02-03	11	1	
	03-04	10	2		
	04-05	9	3		
	06-07	7	36		
	08-09	5	10		
	09-10	4	2		
Seminole	Primary Server	04-05	9	2	
		05-06	8	1	
		04-05	9	1	
Seminole	Secondary Server	04-05	9	3	
		05-06	8	1	

**Court Reporting Statistics
Nineteenth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Indian River	Analog A/V	04-05	9	41
		08-09	5	2
	Digital A/V	04-05	9	11
		06-07	7	1
		09-10	4	1
	Handheld	05-06	8	1
		07-08	6	1
		10-11	3	1
	Infrastructure	04-05	9	3
	Primary Server	08-09	5	1
	Real-Time Hardware	04-05	9	21
		08-09	5	3
		09-10	4	8
	Secondary Server	08-09	5	1
Standalone Workstation	09-10	4	1	
Video Server	09-10	4	2	
Martin	Analog A/V	04-05	9	1
		05-06	8	33
		05-07	7	4
		05-08	6	4
		05-09	5	4
		07-08	6	14
	Digital A/V	05-06	8	16
		07-08	6	2
	Handheld	07-08	6	2
		10-11	3	1
	Infrastructure	05-06	8	3
	Primary Server	09-10	4	4
	Real-Time Hardware	05-06	8	30
		05-07	7	1
		05-08	6	1
		05-09	5	1
		07-08	6	7
		08-09	5	1
	09-10	4	12	
	Secondary Server	09-10	4	1
Standalone Workstation	05-06	8	1	

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Okeechobee	Analog A/V	05-06	8	24
		05-09	5	1
	Digital A/V	05-06	8	9
		05-07	7	1
	Handheld	07-08	6	1
		10-11	3	1
	Infrastructure	05-06	8	3
	Primary Server	09-10	4	3
	Real-Time Hardware	05-06	8	17
		09-10	4	6
Secondary Server	09-10	4	1	
Standalone Workstation	05-06	8	1	
Saint Lucie	Analog A/V	04-05	9	64
		05-06	8	3
		06-07	7	8
		07-08	6	3
		08-09	5	1
		11-12	2	15
	Digital A/V	04-05	9	17
		05-06	8	1
		06-07	7	4
		07-08	6	1
		09-10	4	4
		11-12	2	52
	Handheld	05-06	8	1
		07-08	6	1
		10-11	3	1
	Infrastructure	04-05	9	4
		06-07	7	1
	Primary Server	04-05	9	1
		06-07	7	1
		08-09	5	2
		09-10	4	1
	Real-Time Hardware	04-05	9	44
		05-06	8	2
		06-07	7	5
		07-08	6	4
		08-09	5	2
		09-10	4	16
	Secondary Server	06-07	7	1
		08-09	5	1
		09-10	4	1
	Standalone Workstation	09-10	4	1
	Video Server	09-10	4	3

**Court Reporting Statistics
Twentieth Judicial Circuit
Type of Equipment Purchased**

Note: Based on FY 2012-13 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Charlotte	Analog A/V	03-04	10	1
	Digital A/V	03-04	10	15
		04-05	9	21
		05-06	8	21
		07-08	6	1
		08-09	5	1
	Infrastructure	05-06	8	1
		07-08	6	3
		09-10	4	1
	Primary Server	07-08	6	1
	Secondary Server	07-08	6	2
Video Server	08-09	5	2	
Collier	Analog A/V	03-04	10	1
	Digital A/V	03-04	10	22
		04-05	9	57
		05-06	8	28
		06-07	7	30
		07-08	6	3
		09-10	4	3
	Infrastructure	05-06	8	4
		09-10	4	11
	Other Digital Computer Hardware	04-05	9	1
	Primary Server	07-08	6	1
		08-09	5	2
	Secondary Server	07-08	6	2
	Video Server	05-06	8	1
		07-08	6	2
08-09		5	1	
Glades	Digital A/V	02-03	11	1
		04-05	9	2
		06-07	7	2
		09-10	4	1
		12-13	1	1
	Infrastructure	02-03	11	1
		09-10	4	2
	Primary Server	08-09	5	1

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hendry	Digital A/V	02-03	11	3
	Digital A/V	04-05	9	3
		05-06	8	3
		06-07	7	9
		08-09	5	1
		02-03	11	3
	Infrastructure	06-07	7	2
		08-09	5	1
	Primary Server	08-09	5	1
Secondary Server	08-09	5	1	
Video Server	08-09	5	1	
Lee	Digital A/V	01-02	12	6
		02-03	11	7
		03-04	10	56
		05-06	8	107
		06-07	7	82
		08-09	5	41
		09-10	4	7
		11-12	2	5
		12-13	1	1
		Infrastructure	03-04	10
	05-06		8	4
	06-07		7	12
	08-09		5	6
	09-10		4	1
	Other Digital Computer Hardware	04-05	9	3
		05-06	8	7
	Primary Server	06-07	7	2
		07-08	6	3
	Secondary Server	06-07	7	1
		07-08	6	3
	Video Server	06-07	7	2
		07-08	6	4
		08-09	5	1

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2012-13

Department: State Court System

Chief Internal Auditor: Greg White

Budget Entity: All State Court Budget Entities

Phone Number: 488-9123

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
2012-176	Report issued April 2012	State Court Operations	<p>A policy for mitigation, detection, and reporting of fraud had not been implemented. A fraud policy should be implemented.</p> <p>P-card transaction reports were not always timely reconciled to supporting documentation. Some bills for p-card charges were paid prior to approval by Trial Court Administrators. Employee p-card transaction reports should be timely reconciled to supporting documentation with the date indicated. Procedures should be established to ensure that Trial Court Administrators approve p-card charges within legal timeframes.</p>	<p>A fraud policy has been approved by the Chief Justice which identifies actions constituting fraud, incident reporting procedures, and responsibility for fraud investigation.</p> <p>The State Court's Purchasing Card Program Policy has been updated to include deadlines for the P-Card Administrator's review of transaction reports and submission to the Finance and Accounting unit for timely reconciliation. An internal process has been developed to track late submission of reconciliation reports. The policy now requires the cardholder to submit receipts to the Trial Court Administrator/designee for certification, if applicable, and A memorandum was also distributed to the Trial Court Administrators directing them to certify p-card invoices prior to FLAIR approval. The P-Card Administrator monitors the certification dates and approval dates when the p-card packages are submitted to the General Services unit for review.</p>	
AU11-02	Report issued February 2012	Tangible Personal Property	Administration of property records could be improved.	Improvements have been made in physical inventory procedures, updating the property master file, documentation procedures, custodian designation, and training.	

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service):
Agency Budget Officer/OPB Analyst Name:

A "Y" indicates "YES" and is acceptable, an "N/A" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)						
	22010100	22010200	22020100	22100600	22300100	22300200	22350100

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.	

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	N/A	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	N/A	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	N/A	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	N/A	Y	Y	Y	Y

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.							
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.							
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.							

4. EXHIBIT D (EADR, EXD)

4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)						
	22010100	22010200	22020100	22100600	22300100	22300200	22350100
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.							
5. EXHIBIT D-1 (ED1R, EXD1)							
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	N/A	Y	Y	Y	Y
AUDITS:							
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	N/A	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	N/A	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Yes, with rounding.						
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.							
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.							
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2012-13 approved budget. Amounts should be positive.							
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.							
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)							
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y	Y	Y
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.							
7. EXHIBIT D-3A (EADR, ED3A)							
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	N/A	Y	N/A	N/A	Y	N/A	N/A
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	Y	N/A	N/A	Y	N/A	N/A
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	N/A	Y	Y	Y	N/A
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	N/A	Y	Y	Y	N/A
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	N/A	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.9 Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	Y	Y	N/A	N/A

Action	Program or Service (Budget Entity Codes)						
	22010100	22010200	22020100	22100600	22300100	22300200	22350100
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	Y	N/A	N/A	N/A	Y	Y	N/A
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	N/A	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.16 Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 28 and 88 of the LBR Instructions.)	Y	Y	N/A	Y	Y	Y	Y
7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	Y	N/A	N/A	Y	N/A	N/A
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Y	Y	N/A	Y	Y	Y	Y
AUDIT:							
7.20 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y						
7.21 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	N/A	N/A	N/A	Y	Y	N/A
7.22 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A						
7.23 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A						
7.24 Have FCO appropriations been entered into the nonrecurring column A04?(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	Y	N/A	N/A	N/A
TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.							
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.							
TIP Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.							
TIP If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).							

Action	Program or Service (Budget Entity Codes)						
	22010100	22010200	22020100	22100600	22300100	22300200	22350100
<p>TIP If an appropriation made in the FY 2013-14 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.</p>							
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)							
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?						Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?						Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?						Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?						N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?						Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?						Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?						N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?						N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?						Y
8.10	Are the statutory authority references correct?						Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)						Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?						Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?						Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?						Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?						Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?						Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?						Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?						Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?						Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?						Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?						Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)						Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?						Y
8.24	Are prior year September operating reversions appropriately shown in column A01?						Y

Action		Program or Service (Budget Entity Codes)						
		22010100	22010200	22020100	22100600	22300100	22300200	22350100
8.25	Are current year September operating reversions appropriately shown in column A02?	Y						
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y						
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y						
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y						
AUDITS:								
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y						
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y						
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y						
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!							
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.							
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.							
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.							
9. SCHEDULE II (PSCR, SC2)								
AUDIT:								
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	N	Y	N/A	N	N	N	Y
10. SCHEDULE III (PSCR, SC3)								
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Y	Y	N/A	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	N/A	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)								
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	Y	N/A	N	Y	N/A	N/A
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.							
12. SCHEDULE VIIIA (EADR, SC8A)								
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can now be included in the priority listing.	N/A						
13. SCHEDULE VIIIB-1 (EADR, S8B1)								
13.1	NOT REQUIRED FOR THIS YEAR	N/A						

Action	Program or Service (Budget Entity Codes)							
	22010100	22010200	22020100	22100600	22300100	22300200	22350100	
14. SCHEDULE VIII B-2 (EADR, S8B2)								
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?						Y	
15. SCHEDULE VIII C (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)								
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.						Based on the purpose of the Schedule VIII-C, the State Courts System (SCS) does not have any programs, services, functions or activities that would be conducted differently nor are no longer the highest or best use of state resources. Therefore, there is no recommendation for FY 2014-15 to redirect resources within the SCS for possible reprioritization.	
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.							
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?							
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?							
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?							
AUDIT:								
15.6	Do the issues net to zero at the department level?(GENR, LBR5)						N/A	
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)								
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)						Y	
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?						Y	
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:								
16.3	Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)						Y	
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")						Y	
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")						Y	
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)						Y	
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")						Difference is justified on the audit page of the Schedule XI	
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.							
17. MANUALLY PREPARED EXHIBITS & SCHEDULES								
17.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?						Y	
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?						Y	
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?						Y	
AUDITS - GENERAL INFORMATION								
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.							
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.							

Action	Program or Service (Budget Entity Codes)							
	22010100	22010200	22020100	22100600	22300100	22300200	22350100	
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)								
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	Y	N/A	Y	N/A	N/A	N/A
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	N/A	N/A	Y	N/A	N/A	N/A
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	N/A	Y	N/A	N/A	N/A
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	N/A	Y	N/A	N/A	N/A
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	Y	N/A	N/A	N/A
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A	N/A	Y	N/A	N/A	N/A
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.							
19. FLORIDA FISCAL PORTAL								
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y						