Supreme Court of Florida

500 South Duval Street
Tallahassee, Florida 32399-1925

LEGISLATIVE BUDGET REQUES

September 15, 2015

Cynthia Kelly, 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

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
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 and contained herein is a true and accurate presentation of our proposed needs for the 2016-17 Fiscal Year.

Sincerely,

Jorge Labarga

JL/srn

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:	**OFFICE OF THE STATE COURTS ADMINISTRATOR**		
Contact Person:	Thomas A. (Tad) David	Phone Number:	850-488-1824

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Barbara U. Uberoi v. The Supreme Court of Florida	
Court with Jurisdiction:	U.S. Court for the Middle District of Florida, Tampa Division	
Case Number:	8:14-cv-02321 EAK TGW	
Summary of the Complaint:	Plaintiff was denied admission to the Florida Bar. Among other issues, she is challenging the constitutionality of Rule 5-10, *et seq.*, presumably as applied.	
Amount of the Claim:	N/A - Declaratory and injunctive relief requested	
Specific Statutes or Laws (including GAA) Challenged:	Rule 5-10, *et seq.* of the Rules of the Supreme Court Relating to Admissions to the Bar	
Status of the Case:	Case dismissed by the U.S. Dist. Court for the Middle Dist. Of Florida; Plaintiff filed an appeal on June 11, 2015. Her brief is due on or before 09/14/2015.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		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 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:	**OFFICE OF THE STATE COURTS ADMINISTRATOR**		
Contact Person:	Thomas A. (Tad) David	Phone Number:	850-488-1824

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Erwin ROSENBERG, v. THE STATE OF FLORIDA, THE SUPREME COURT OF FLORIDA, and THE FLORIDA BAR	
Court with Jurisdiction:	U.S. Court for the Middle District of Florida, Tampa Division	
Case Number:	1:15-cv-22113-JAL	
Summary of the Complaint:	Plaintiff is a Florida attorney who has a disciplinary case pending before the Florida Supreme Court. The Plaintiff alleges that Rule 4-1.1, Rule 4-3.4(a), Rule 4-3.4(d), and Rule 4-8.4(d) of the Rules Regulating the Florida Bar are unconstitutional.	
Amount of the Claim:	N/A – Declaratory and injunctive relief requested	
Specific Statutes or Laws (including GAA) Challenged:	Rule 4-1.1, Rule 4-3.4(a), Rule 4-3.4(d), and Rule 4-8.4(d) of the Rules Regulating the Florida Bar	
Status of the Case:	The Florida Supreme Court has a well-founded and well-pled Motion to Dismiss the First Amended Complaint filed by the Plaintiff.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		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
Equity and Retention Pay Issue for State Courts System Employees	4401A80		131,384	1000	1
Supreme Court Security Support	6800610		78,414	1000	2
Interior Space Refurbishing	7000260		237,360	1000	3
Appellate Judiciary Travel	4600620		209,930	1000	4

Schedule VIII - A
Priority Listing of Agency Budget Issues

Executive Direction - 22010200

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Equity and Retention Pay Issue for State Courts System Employees	4401A80		337,903	1000	1
Supreme Court Annex Building Lease	7000100		63,236	1000	2
Operational Support for the State Court System	3003015	6.0	707,789	1000	3
Certification of Additional Judgeships	3009310		17,500	1000	TBD*

**This issue is filed as a placeholder pending the release of the Supreme Court Opinion on Certification of Need for Additional Judges for FY 2016-17.*

Schedule VIII - A
Priority Listing of Agency Budget Issues

District Courts of Appeal - 22100600

Title	Issue Code	FTE	Amount	Fund	Priority
Equity and Retention Pay Issue for State Courts System Employees	4401A80		200,324	1000	1
Third District Court of Appeal - Court Building Remodeling for Security and Building System Upgrades - DMS MGD (Category: 080179)	990M000		6,482,222	1000	1
Fourth District Court of Appeal Courthouse Construction - DMS MGD (Category: 080071)	990S000		4,775,757	1000	1
Building, Facilities Maintenance, and Operational Upkeep	7000210		400,000	1000	2
Second District Court of Appeal/Tampa Branch Lease	7000220		293,800	1000	2
Second District Court of Appeal Facility Study (Category: 080171)	990S000		100,000	1000	2
Appellate Judiciary Travel	4600620		241,310	1000	3

Schedule VIII - A
Priority Listing of Agency Budget Issues

Circuit Courts - 22300100

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Equity and Retention Pay Issue for State Courts System Employees	4401A80		5,232,978	1000	1
Trial Court Technology Comprehensive Plan	36250C0	65.0	25,299,973	1000	2
Court Interpreting Resources	5303100		483,292	1000	3
Case Management Support	3001610		3,470,377	1000	4
Certification of Additional Judgeships	3009310	10.0	1,157,078	1000	TBD*

**This issue is filed as a placeholder pending the release of the Supreme Court Opinion on Certification of Need for Additional Judges for FY 2016-17.*

Schedule VIII - A
Priority Listing of Agency Budget Issues

County Courts - 22300200

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Certification of Additional Judgeships	3009310	64.0	8,868,710	1000	TBD*

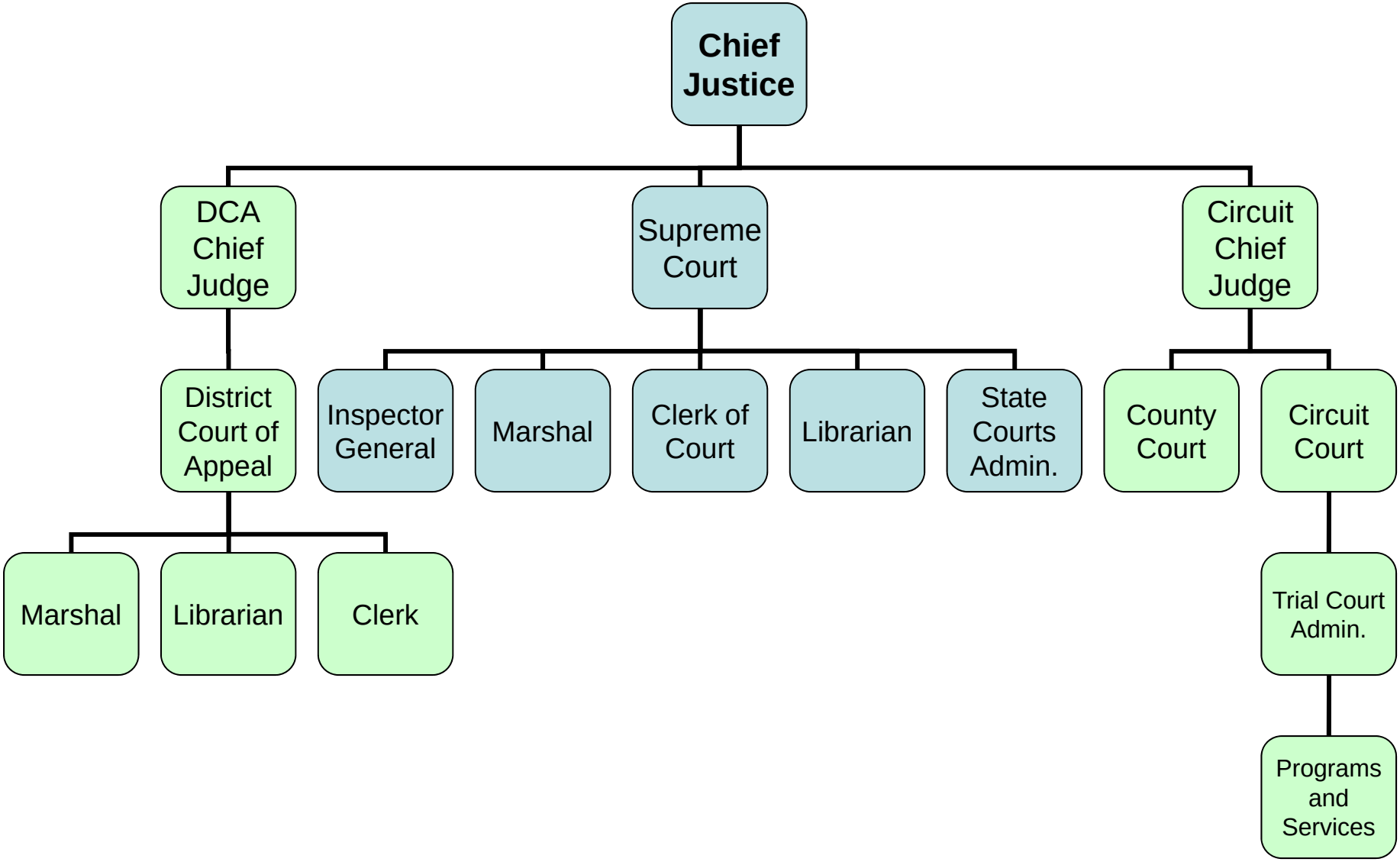
**This issue is filed as a placeholder pending the release of the Supreme Court Opinion on Certification of Need for Additional Judges for FY 2016-17.*

Schedule VIII - A
Priority Listing of Agency Budget Issues

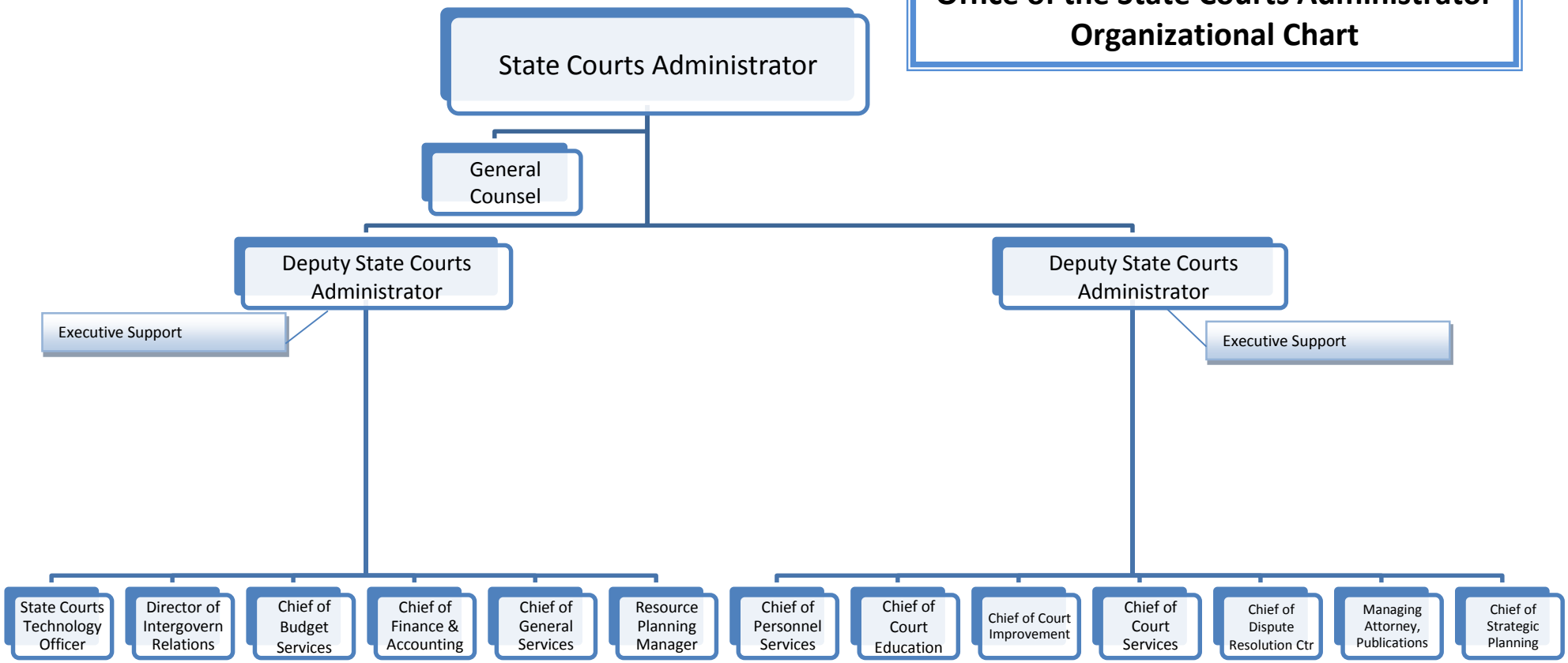
Judicial Qualifications Commission - 22350100

Issue Title	Issue Code	FTE	Amount	Fund	Priority
Operational Increases	3000070		115,671	1000	1

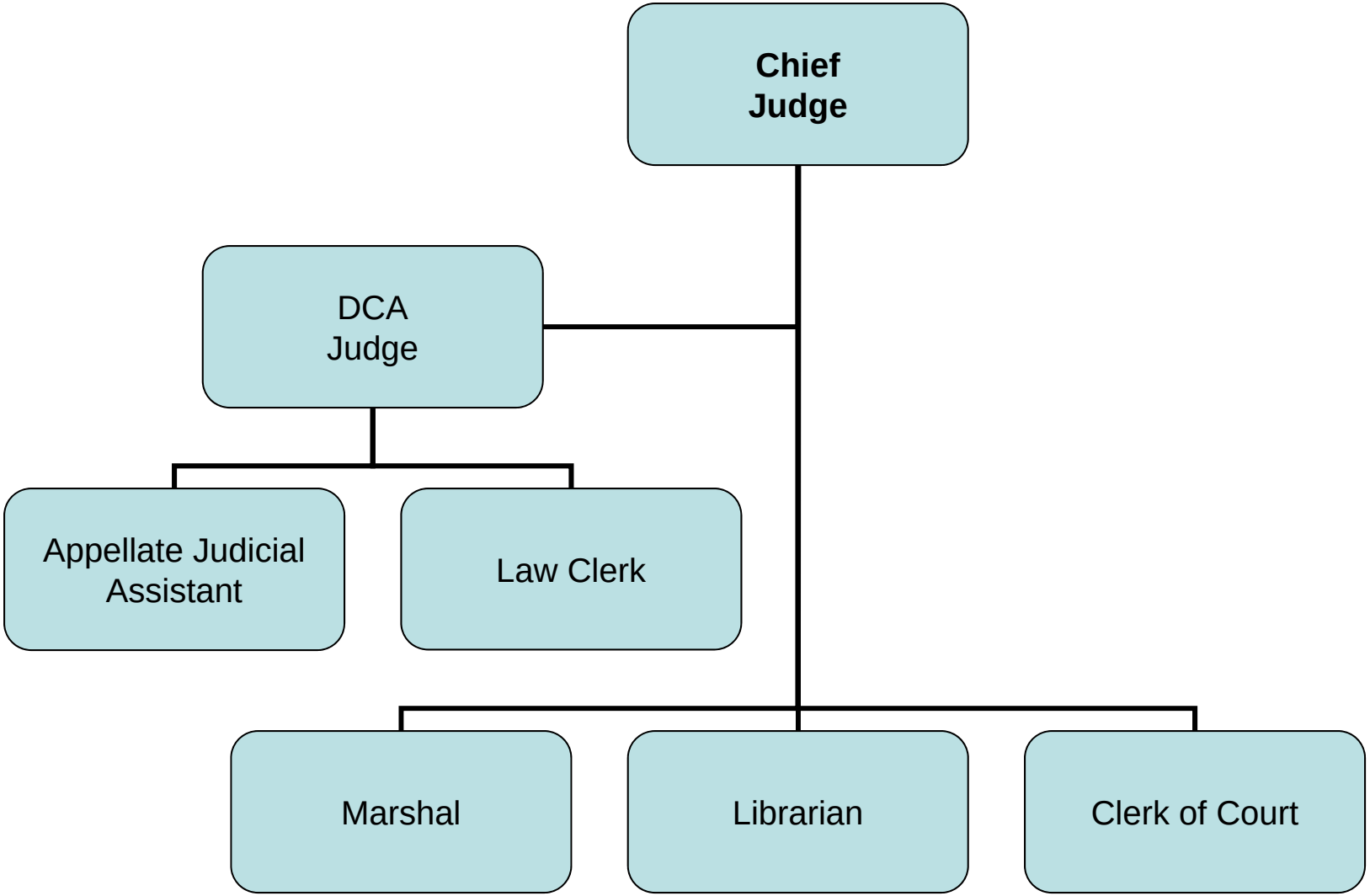
FLORIDA STATE COURTS SYSTEM



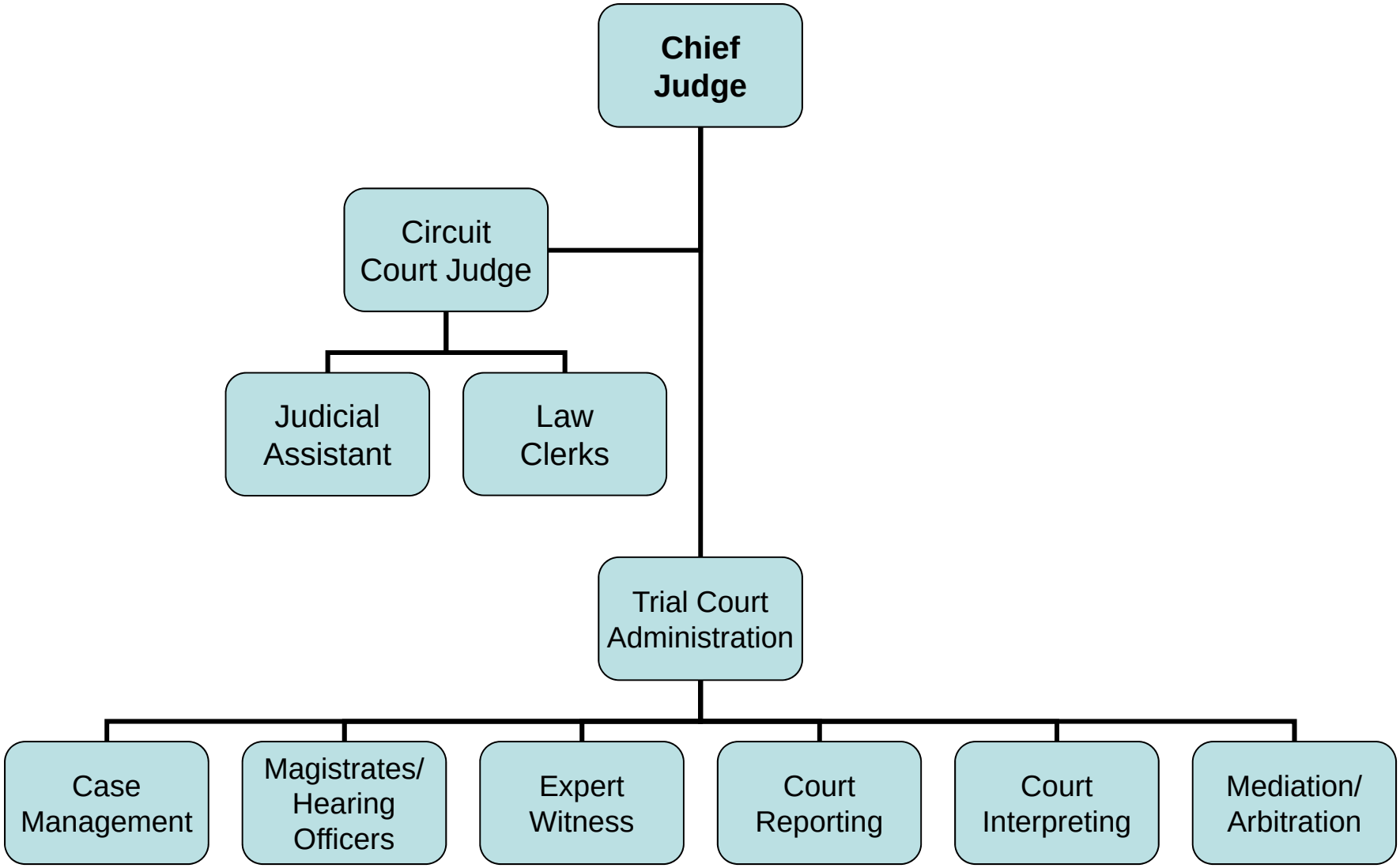
Office of the State Courts Administrator Organizational Chart



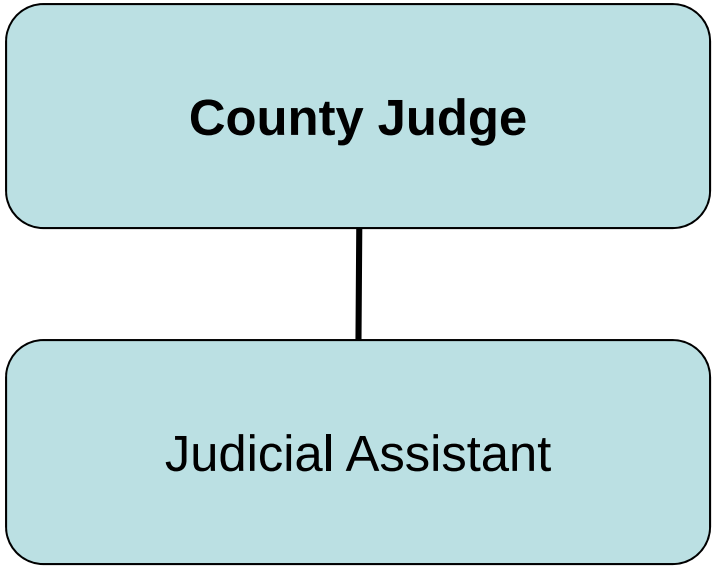
DISTRICT COURTS OF APPEAL



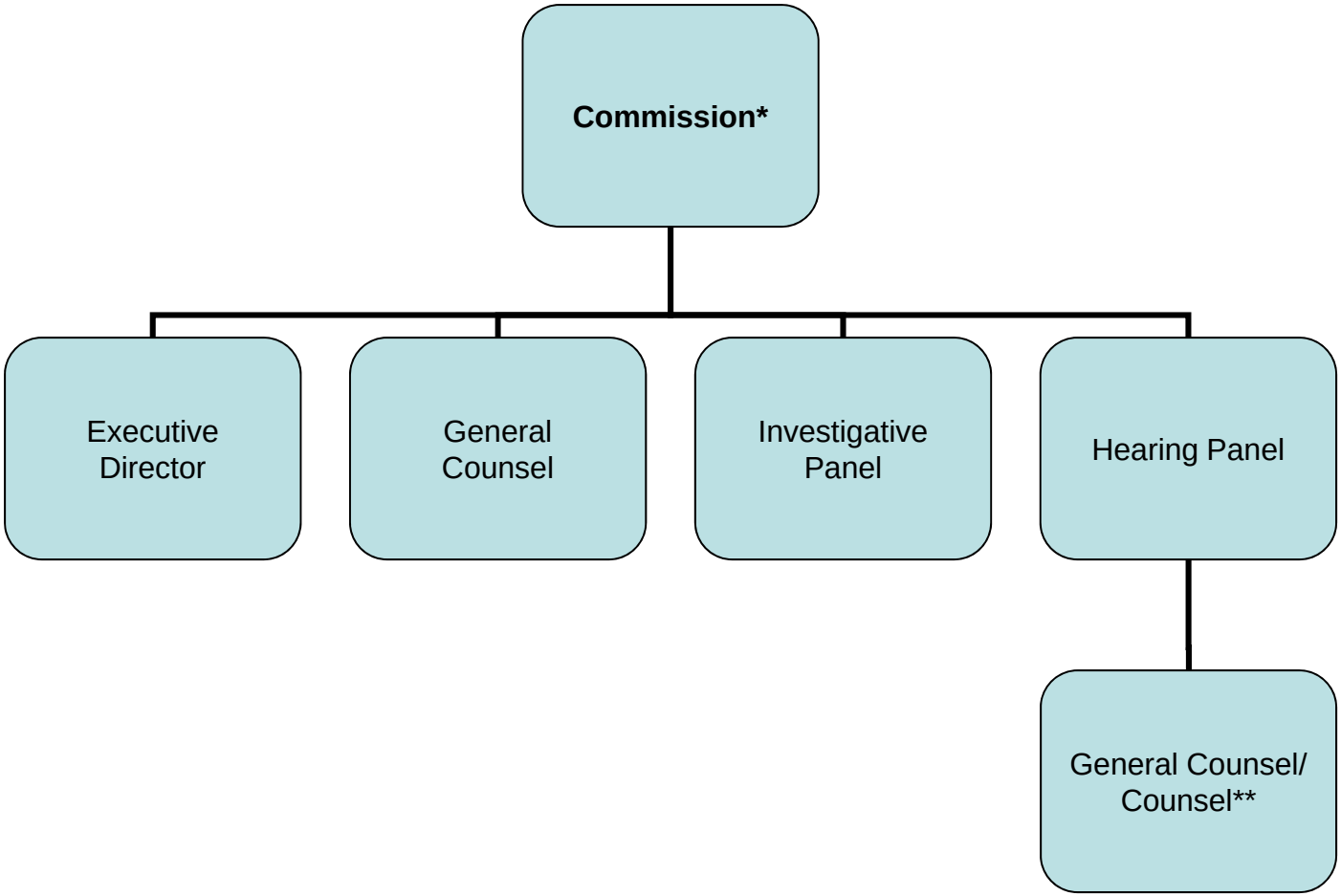
CIRCUIT COURTS



COUNTY COURTS



JUDICIAL QUALIFICATIONS COMMISSION



* Volunteer, Non-Salaried Positions

** Contractual, Non-Salaried Positions

STATE COURT SYSTEM	FISCAL YEAR 2014-15			
SECTION I: BUDGET	OPERATING			FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT			491,838,727	10,118,097
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)			40,775,463	0
FINAL BUDGET FOR AGENCY			532,614,190	10,118,097
SECTION II: ACTIVITIES * MEASURES	**Number of Units**	***(1) Unit Cost***	***(2) Expenditures (Allocated)***	***(3) FCO***
Executive Direction, Administrative Support and Information Technology (2)				10,118,097
Supreme Court Library * Number of cases supported	3,331	195.42	650,929	
Court Records And Case Flow Management * Number of records maintained	43,688	146.81	6,413,842	
Security * Number of square feet secured	1,531,422	1.09	1,673,862	
Facilities Maintenance And Management * Number of square feet maintained	1,531,422	3.23	4,940,518	
Judicial Processing Of Cases * Number of cases disposed (all case types)	3,328,517	94.68	315,150,670	
Judicial And Court Staff Education * Number of contact hours	72,438	39.92	2,891,778	
Professional Certification * Number of professionals certified	3,191	324.16	1,034,406	
Court Services * Number of analyses conducted	14,403	158.00	2,275,602	
Case Process Analysis And Improvement * Number of cases analyzed.	58,144	35.25	2,049,612	
Disposition Of Complaints Against The Judiciary * Number of complaints disposed	639	1,423.43	909,573	
TOTAL			337,990,792	10,118,097
SECTION III: RECONCILIATION TO BUDGET				
PASS THROUGHS				
TRANSFER - STATE AGENCIES				
AID TO LOCAL GOVERNMENTS			5,525,895	
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				
OTHER			150,854,101	
REVERSIONS			22,843,462	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			517,214,250	10,118,097
SCHEDULE XI/EXHIBIT VI: AGENCY-LEVEL UNIT COST SUMMARY				

(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
(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.

ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8: ACT5440

THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND SHOULD NOT:

*** NO ACTIVITIES FOUND ***

THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT:
(NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION TECHNOLOGY)

*** NO OPERATING CATEGORIES FOUND ***

THE FOLLOWING ACTIVITIES DO NOT HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND ARE REPORTED AS 'OTHER' IN SECTION III: (NOTE: 'OTHER' ACTIVITIES ARE NOT 'TRANSFER-STATE AGENCY' ACTIVITIES OR 'AID TO LOCAL GOVERNMENTS' ACTIVITIES. ALL ACTIVITIES WITH AN OUTPUT STANDARD (RECORD TYPE 5) SHOULD BE REPORTED IN SECTION II.)

BE	PC	CODE	TITLE	EXPENDITURES	FCO
22300100	1501000000	ACT5050	JUDICIAL ADMINISTRATION	28,038,306	
22300100	1501000000	ACT5070	QUASI-JUDICIAL OFFICERS PROCESSING	7,858,162	
22300100	1501000000	ACT5100	COURT INTERPRETING	10,663,744	
22300100	1501000000	ACT5110	CASE FLOW MANAGEMENT	33,771,547	
22300100	1501000000	ACT5120	COURT REPORTING AND TRANSCRIPTION	27,998,566	
22300100	1501000000	ACT5310	JURY OPERATIONS AND EXPENSE	142,947	
22300100	1501000000	ACT5510	MEDIATION AND ARBITRATION	10,657,170	
22300100	1501000000	ACT5530	EXPERT WITNESS	7,809,174	
22300100	1501000000	ACT5540	MASTERS AND HEARING OFFICERS	14,708,608	
22020100	1501000000	ACT8030	DUE PROCESS CONTINGENCY FUND	9,205,877	

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 22	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	532,614,190	10,118,097

TOTAL BUDGET FOR AGENCY (SECTION III):	517,214,250	10,118,097
DIFFERENCE:	15,399,940	
(MAY NOT EQUAL DUE TO ROUNDING)		

15,399,940

(15,400,000) Section 63, FY 2015-16 General Appropriations Act

(60) Rounding

Supreme Court
Exhibits and Schedules

Supreme Court
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2015-16-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	16,037	(A)		16,037	
ADD: Other Cash (See Instructions)	-	(B)		-	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable	-	(D)		-	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**16,037**	(F)	**-**	**16,037**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	-	(H)		-	
Approved "B" Certified Forwards	-	(H)		-	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)	-	(I)		-	
LESS: _____		(J)		-	
Unreserved Fund Balance, 07/01/15	**16,037**	(K)	**-**	**16,037**	**

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

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	40,740.60	(A)		40,740.60	
ADD: Other Cash (See Instructions)	0.00	(B)		0.00	
ADD: Investments		(C)		0.00	
ADD: Outstanding Accounts Receivable	0.00	(D)		0.00	
ADD: _____		(E)		0.00	
Total Cash plus Accounts Receivable	**40,740.60**	(F)	**0.00**	**40,740.60**	
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, 07/01/2015	**40,740.60**	(K)	**0.00**	**40,740.60**	**

Notes:

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Executive Direction
Exhibits and Schedules

Executive Direction

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	556,573	(A)		556,573	
ADD: Other Cash (See Instructions)	-	(B)		-	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable	25,090	(D)		25,090	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**581,663**	(F)	**-**	**581,663**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	38,865	(H)		38,865	
Approved "B" Certified Forwards	4,462	(H)		4,462	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)	-	(I)		-	
LESS: _____		(J)		-	
Unreserved Fund Balance, 07/01/15	**538,335**	(K)	**-**	**538,335**	**

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	1,711,335	(A)		1,711,335	
ADD: Other Cash (See Instructions)	13,193	(B)		13,193	
ADD: Investments		(C)		0	
ADD: Outstanding Accounts Receivable	6,024,609	(D)		6,024,609	
ADD: _____		(E)		0	
Total Cash plus Accounts Receivable	**7,749,136**	(F)	**0**	**7,749,136**	
LESS Allowances for Uncollectibles		(G)		0	
LESS Approved "A" Certified Forwards	236	(H)		236	
Approved "B" Certified Forwards		(H)		0	
Approved "FCO" Certified Forwards		(H)		0	
LESS: Other Accounts Payable (Nonoperating)	1,597,159	(I)		1,597,159	
LESS: _____		(J)		0	
Unreserved Fund Balance, 07/01/2015	**6,151,741**	(K)	**0**	**6,151,741**	**

Notes:

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SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 22 State Court System **Budget Period: 2016-17**
Program: 22010200 Executive Direction
Fund: 2146 Court Education Trust Fund

Specific Authority: Section 25.384, F.S.
Purpose of Fees Collected: To provide education and trainig to Judges and other court personnel.

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

	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.)
X	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Filing Fees - Probate and Circuit Civil	1,201,848	1,200,000	1,200,000
Filing Fees - County Civil	1,409,623	1,400,000	1,400,000
Refunds	733		
Total Fee Collection to Line (A) - Section III	2,612,204	2,600,000	2,600,000
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	1,014,612	1,268,555	1,268,555
Other Personal Services	51,002	105,540	105,540
Expenses	1,610,271	1,904,449	1,904,449
Operating Capital Outlay	6,578	10,000	10,000
Contracted Services	114,262	106,105	106,105
Lease Purchase Equipment	7,496	7,500	7,500
HR Services 107040	4,075	4,127	4,127
Indirect Costs Charged to Trust Fund			
Total Full Costs to Line (B) - Section III	2,808,296	3,406,276	3,406,276

Basis Used:

SECTION III - SUMMARY

TOTAL SECTION I	(A)	2,612,204	2,600,000	2,600,000
TOTAL SECTION II	(B)	2,808,296	3,406,276	3,406,276
TOTAL - Surplus/Deficit	(C)	(196,092)	(806,276)	(806,276)

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

Department Title: State Courts System
Trust Fund Title: Court Education Trust Fund
Budget Entity: Departmental
LAS/PBS Fund Number: 2146

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	1,204,003	(A)		1,204,003	
ADD: Other Cash (See Instructions)		(B)		-	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable		(D)		-	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**1,204,003**	(F)	**-**	**1,204,003**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	300,322	(H)		300,322	
Approved "B" Certified Forwards	21,287	(H)		21,287	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)	53,425	(I)		53,425	
LESS: Payable Reduction GL 35300		(J)	(589)	(589)	
Unreserved Fund Balance, 07/01/15	**828,970**	(K)	**589**	**829,559**	**

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

Department Title: State Courts System
Trust Fund Title: Federal Grants Trust Fund
Budget Entity: 22010200
LAS/PBS Fund Number: 2261

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	42,593	(A)		42,593	
ADD: Other Cash (See Instructions)	83,046	(B)		83,046	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable	7,200	(D)		7,200	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**132,839**	(F)	**-**	**132,839**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	6,757	(H)		6,757	
Approved "B" Certified Forwards		(H)		-	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)	7,265	(I)	0	7,265	
LESS: Adjustment GL35300/71100		(J)	(100)	(100)	
Unreserved Fund Balance, 07/01/15	**118,817**	(K)	**100**	**118,918**	**

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	14,632	(A)		14,632	
ADD: Other Cash (See Instructions)		(B)		-	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable	65,000	(D)		65,000	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**79,632**	(F)	**-**	**79,632**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	62,940	(H)		62,940	
Approved "B" Certified Forwards		(H)		-	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)		(I)		-	
LESS: Unearned Revenue	16,692	(J)		16,692	
Unreserved Fund Balance, 07/01/15	**-**	(K)	**-**	**-**	**

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.**

District Courts of Appeal
Exhibits and Schedules

District Court of Appeal
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	57,181	(A)		57,181	
ADD: Other Cash (See Instructions)	-	(B)		-	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable		(D)		-	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**57,181**	(F)	**-**	**57,181**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	8,758	(H)		8,758	
Approved "B" Certified Forwards	9,409	(H)		9,409	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)	-	(I)		-	
LESS: Adjustment GL 35300/71100		(J)	871	871	
Unreserved Fund Balance, 07/01/15	**39,015**	(K)	**(871)**	**38,145**	**

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	40,658.78	(A)		40,658.78	
ADD: Other Cash (See Instructions)	0.00	(B)		0.00	
ADD: Investments		(C)		0.00	
ADD: Outstanding Accounts Receivable	0.00	(D)		0.00	
ADD: _____		(E)		0.00	
Total Cash plus Accounts Receivable	**40,658.78**	(F)	**0.00**	**40,658.78**	
LESS Allowances for Uncollectibles		(G)		0.00	
LESS Approved "A" Certified Forwards	626.81	(H)		626.81	
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, 07/01/2015	**40,031.97**	(K)	**0.00**	**40,031.97**	**

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

Department Title: State Courts System
Trust Fund Title: Grants and Donations Trust Fund
Budget Entity: 22100600 - District Court of Appeal
LAS/PBS Fund Number: 2339

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	583	(A)		583
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable	0	(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	**583**	(F)	**0**	**583**
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	0	(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: Unearned Revenue	583	(J)		583
Unreserved Fund Balance, 07/01/15	**0**	(K)	**0**	**0** **

Notes:

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Circuit Courts
Exhibits and Schedules

Circuit Courts

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,666,084	(A)		1,666,084
ADD: Other Cash (See Instructions)	22,254	(B)		22,254
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable	1,054	(D)		1,054
ADD: _____		(E)		-
Total Cash plus Accounts Receivable	**1,689,392**	(F)	**-**	**1,689,392**
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards	101,258	(H)		101,258
Approved "B" Certified Forwards	102,022	(H)		102,022
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	17,843	(I)		17,843
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/15	**1,468,268**	(K)	**-**	**1,468,268** **

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	46,572.69	(A)		46,572.69	
ADD: Other Cash (See Instructions)	0.00	(B)		0.00	
ADD: Investments		(C)		0.00	
ADD: Outstanding Accounts Receivable	0.00	(D)		0.00	
ADD: _____		(E)		0.00	
Total Cash plus Accounts Receivable	**46,572.69**	(F)	**0.00**	**46,572.69**	
LESS Allowances for Uncollectibles		(G)		0.00	
LESS Approved "A" Certified Forwards	36,381.60	(H)		36,381.60	
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, 07/01/2015	**10,191.09**	(K)	**0.00**	**10,191.09**	**

Notes:

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

Department Title: State Courts System
Trust Fund Title: Federal Grants Trust Fund
Budget Entity: 22300100
LAS/PBS Fund Number: 2261

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	130,676	(A)		130,676
ADD: Other Cash (See Instructions)	-	(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable	512,946	(D)		512,946
ADD: _____		(E)		-
Total Cash plus Accounts Receivable	**643,622**	(F)	**-**	**643,622**
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards	2,079	(H)		2,079
Approved "B" Certified Forwards	13,667	(H)		13,667
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	17,824	(I)		17,824
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/15	**610,051**	(K)	**-**	**610,051** **

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SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	16,677	(A)		16,677	
ADD: Other Cash (See Instructions)		(B)		-	
ADD: Investments		(C)		-	
ADD: Outstanding Accounts Receivable	-	(D)		-	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**16,677**	(F)	**-**	**16,677**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	-	(H)		-	
Approved "B" Certified Forwards		(H)		-	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)		(I)		-	
LESS: Unearned Revenue	16,677	(J)		16,677	
Unreserved Fund Balance, 07/01/15	**-**	(K)	**-**	**-**	**

Notes:

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County Courts
Exhibits and Schedules

County Courts
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	30,280.99	(A)		30,280.99	
ADD: Other Cash (See Instructions)	0.00	(B)		0.00	
ADD: Investments		(C)		0.00	
ADD: Outstanding Accounts Receivable	0.00	(D)		0.00	
ADD: _____		(E)		0.00	
Total Cash plus Accounts Receivable	**30,280.99**	(F)	**0.00**	**30,280.99**	
LESS Allowances for Uncollectibles		(G)		0.00	
LESS Approved "A" Certified Forwards	1,094.40	(H)		1,094.40	
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, 07/01/2015	**29,186.59**	(K)	**0.00**	**29,186.59**	**

Notes:

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Judicial Qualification Commission

Exhibits and Schedules

Judicial Qualification Commission

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2016-17

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

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	221,109.86	(A)		221,109.86	
ADD: Other Cash (See Instructions)	0.00	(B)		0.00	
ADD: Investments		(C)		0.00	
ADD: Outstanding Accounts Receivable	0.00	(D)		0.00	
ADD: _____		(E)		0.00	
Total Cash plus Accounts Receivable	**221,109.86**	(F)	**0.00**	**221,109.86**	
LESS Allowances for Uncollectibles		(G)		0.00	
LESS Approved "A" Certified Forwards	0.00	(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, 07/01/2015	**221,109.86**	(K)	**0.00**	**221,109.86**	**

Notes:

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SCHEDULE IV-B FOR FLORIDA TRIAL COURT TECHNOLOGY COMPREHENSIVE PLAN
For Fiscal Year 2016-17

September 2015

OFFICE OF THE STATE COURTS ADMINISTRATOR

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Table of Contents

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: State Courts System	Schedule IV-B Submission Date: September 15, 2015
Project Name: Florida Trial Court Technology Comprehensive Plan	Is this project included in the Agency's LRPP? __X__ Yes ____ No
FY 2016-17 LBR Issue Code: 36250C0	FY 2016-17 LBR Issue Title: Trial Court Technology Comprehensive Plan
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Kristine Slayden Phone: 850-922-5106 E-mail: SlaydenK@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: Patricia (PK) Jameson	Date: 9/15/15
Agency Chief Information Officer (or equivalent): Printed Name: Alan Neubauer	Date: 9/15/15
Budget Officer: Printed Name: Dorothy Willard	Date: 9/15/15
Planning Officer: Printed Name: Andrew Johns	Date: 9/15/15
Project Sponsor: Kristine Slayden Printed Name: Kristine Slayden	Date: 9/15/15
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Kristine Slayden, 922-5106, SlaydenK@flcourts.org
Cost Benefit Analysis:	Elizabeth Garber, 488-8414, GarberE@flcourts.org
Risk Analysis:	Lindsay Hafford, 410-3376, HaffordL@flcourts.org
Technology Planning:	Alan Neubauer, 414-7741 , Neubauer@flcourts.org
Project Planning:	Kristine Slayden, 922-5106, SlaydenK@flcourts.org

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

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Constitution vests with the court the duty of adjudicating disputes as well as directing its business and administrative functions. In order to carry out this constitutional mandate, the courts rely increasingly on technology and are evaluating new ways in which technology can best be utilized in the judicial branch. Today, the courts are dependent on information technology in almost every area of court business including electronic filing, case management, electronic document management and imaging, workflow management, digital court recording, remote court interpreting, and public access to court-related documents, materials, and information. The transition of Florida's courts from paper-based case files to information management systems that rely on digital records represents a fundamental change in the internal and external operations of the courts. Accordingly, care must be taken to ensure that this transition is accomplished in a deliberate and responsible manner and that the court system remains accessible, fair, and effective.

Technology enhancements will improve overall access to the courts. All court users, including businesses and citizens, will benefit from the improvement of electronic access to court records, increased reliability of and access to court interpreting services, and a minimum level of technology services consistently provided across the state. Additionally, a stable and efficient court system is viewed positively by the business community, which looks to the courts for the resolution of contractual, employment, and other business disputes.

The judicial branch has long embraced the use of technology to increase the effectiveness, efficiency, and accessibility of the courts. The *Long-Range Strategic Plan for the Florida Judicial Branch 2009-2015*[1] identified five issues of critical importance to the judiciary. One such issue is "Improving the Administration of Justice," which includes the goals of improved case processing measures, effective use of public resources, an adequate statewide information technology system, and clearly defined roles as it relates to record keeping. In addition, various committees, commissions, and workgroups have developed standards, best practices, and functional requirements covering all aspects of judicial branch technology. The work products of these bodies will be discussed in detail throughout this document and serve to support the branch's commitment to responsible stewardship of public resources through careful implementation of such large-scale projects.

Since the adoption of the long-range strategic plan, several initiatives have affected the judicial branch's transition to an electronic environment, including electronic filing (e-filing) of court case documents through the Florida Courts E-Filing Portal[2]. At present, more than 92,000 users

[1] The Florida Supreme Court Task Force on Judicial Branch Planning. *Long-Range Strategic Plan for the Florida Judicial Branch 2009-2015*. http://www.flcourts.org/core/fileparse.php/246/urlt/2009-2015-Long-Range-Plan-for-the-Florida-Judicial-Branch-Word.pdf

[2] A detailed history of the process of automating filing of court documents is available on the Florida Courts website at http://www.flcourts.org/resources-and-services/court-technology/efiling/

have registered with the Portal and more than 46 million documents have been filed. Further, the clerks of court are required to maintain electronic court records, to convert paper documents to electronic documents, and to electronically transmit the record on appeal. The efforts to transition to a fully electronic court system have been supported by the Florida Legislature. Section 28.22205, Florida Statutes, provides in part:

> *Each clerk of court shall implement an electronic filing process. The purpose of the electronic filing process is to reduce judicial costs in the office of the clerk and the judiciary, increase timeliness in the processing of cases, and provide the judiciary with case-related information to allow for improved judicial case management. The Legislature requests that, no later than July 1, 2009, the Supreme Court set statewide standards for electronic filing to be used by the clerks of court to implement electronic filing.*

Judges have begun to work with electronic case files, and the clerks of court are beginning to run their business processes using automation and electronic forms of data and documents. This change to e-filing of cases and electronic transfer and use of information by system users at all levels makes it essential for judges to have the necessary tools to work effectively with electronic documents to carry out their adjudicatory function, as well as to manage the operations of the courts. A key component of effective court operations is integrated systems that facilitate interoperability with external court system partners by incorporating data from the clerks of court case maintenance systems and converting it into information for judges and court staff. The functional requirements of the judicial branch drive the need to define an environment that can fulfill the needs of all justice partners as they interact with the public and other federal, state, and local agencies.

In addition to meeting needs associated with e-filing, another significant challenge facing the courts is the ability to fund necessary due process-related technology equipment for court reporting and court interpreting elements. Court reporting and interpreting services are integral components to ensuring due process and the constitutional right of access to justice. Over the last several years, court reporting and interpreting services have evolved in light of the technological advancements. Service delivery now involves the use of electronic equipment to capture and produce the official court record and provide interpreting services. This equipment is required to be funded by the state but has not been refreshed for many years, putting circuits at great risk for large system failures.

Finally, a consistent minimum level of technology services is needed across the trial courts. This includes core function service support, bandwidth, and staff to support court-specific technology. The challenge in providing these services has come primarily from the current funding structure, in which most funding comes from the counties' budget. This framework has resulted in funding inequities and disparate technology resources in use across the state, as some counties have more funds available than others from the existing $2.00 recording fee required in section 28.24(12)(e)(1), Florida Statutes, as well as other sources, to dedicate to trial court technology.

Development of Solutions to Address Business Needs

In order to identify and implement necessary technology improvements in a systematic manner, the Trial Court Budget Commission created the Trial Court Technology Funding Strategies Workgroup (Workgroup). The Workgroup, with assistance from the National Center for State Courts, Trial Court Administrators, and Trial Court Technology Officers, developed the *Florida Trial Court Technology Strategic Plan: 2015-2019* (Plan) (Appendix A). The Plan was subsequently approved by the full Trial Court Budget Commission and adopted by the Florida Supreme Court.

The Plan recognizes the need for an infrastructure to support the statewide flow of information, technology tools to perform more accurate and reliable court reporting and court interpreting, and staff to support all statewide, court-specific technology systems. This plan and the associated budget request are comprehensive in nature; they contain elements involving hardware, software, bandwidth, server management, network services, electronic document management, audiovisual systems and cabling, multi-media services, staff support, statewide coordination of efforts, and training and education. For purposes of this document, these distinct technology elements have been grouped into three issue areas as follows:

Solution I: Secure Case Management and Processing System;
Solution II: Court Reporting and Court Interpreting;
Solution III: Support for Minimum Level of Technology.

A defined business need is associated with each of these areas.

Funding the Comprehensive Plan

This legislative budget request is being filed to secure $25,299,973 in recurring and non-recurring general revenue and 65.0 FTE for Fiscal Year 2016-17 to fund the statewide technology needs of the trial courts. This request will fully fund the major projects associated with the statewide implementation of the comprehensive technology plan, with the exception of some components of digital court reporting, remote interpreting, and bandwidth. The courts will seek funding in future years to complete statewide implementation of these critical due process initiatives as well as to provide additional bandwidth capacity, which is expected to increase each year. The requested funding will serve to implement, support, maintain, and refresh current trial court systems, while ensuring continued support from county funding.

Solution I: Secure Case Management and Processing System. The Secure Case Management and Processing System consists primarily of the Court Application Processing System, or CAPS. CAPS is a recently developed computer application system, developed by internal staff as well as external vendor products. It is designed for in-court and in-chambers use by trial court judges and court staff but also allows them to work on cases from any location and across many devices and data sources. Implementation of this technology is almost complete in circuit civil divisions across the state; however, expansion to the criminal division is needed. The system provides judges with rapid, real-time, and reliable access to case information; provides access to and use of case files and other data in the course of managing cases, scheduling and conducting hearings,

adjudicating disputes, and recording and reporting judicial activity; and allows judges to prepare, electronically sign, file, and serve court orders. Sometimes referred to as a "judicial viewer," this web-based processing system is a vital component to the adjudicatory function of Florida's trial court judges and has the potential to serve as the framework for a fully automated trial court case management system. Estimated costs for each element of CAPS are below:

Expansion to All Judges	$3,547,818
Maintenance	$1,856,988
Hardware Refresh	$433,333
Enhancement	$250,000
Server Refresh	$658,614
Solution I Subtotal	**$6,746,753**

***Solution II: Court Reporting and Court Interpreting*.** Court reporting is the creation and preservation of a record of words spoken in court, and when necessary, provides their timely and accurate transcription in the event that an appeal is filed. Court interpreting ensures the reduction of communication barriers based on disability or limited ability to communicate in English. Fair resolution of court matters for linguistic minorities is intertwined with the efficient and effective administration of justice.

Funding to support technological systems comprising audio/video hardware and software will support the delivery of these services in criminal and other court proceedings in which a person's fundamental due process rights are at stake. Digital court reporting and remote interpreting represent an economic alternative to traditional in-person services in many court proceedings. While stenographic recording remains a necessary form of court reporting in particular kinds of cases, selective implementation of digital court recording technologies has assisted the trial courts in providing efficiencies and addressing the diminishing supply of stenographic firms willing to do business with the courts. Courts utilize outdated hardware and software, installed nearly 10 years ago, to create the official record. That equipment is now in dire need of refresh or the courts face the risk of system failures. Additionally, the circuits are experiencing an increased demand for qualified interpreters in Florida, which are currently in short supply. While population centers are home to more interpreters, rural areas of the state lack the same resources. The use of audio/video technology will assist in improving access to qualified interpreters remotely over a broader geographical area. Successful implementation and statewide expansion of remote interpreting technology may serve as the foundation for additional remote capabilities in other due process areas such as expert witness testimony. Costs associated with this solution are below:

Court Reporting Equipment Expansion	$796,577
Court Reporting Equipment Refresh and Maintenance	$4,165,765
Court Reporting / Open Court Maintenance	$175,000
Court Interpreting Equipment Expansion	$2,412,750
Court Interpreting Refresh and Maintenance	$0
Solution II Subtotal	**$7,550,092**

Solution III: Support for Minimum Level of Technology. The public views the courts as a single system or enterprise; few concern themselves with the details of court organization. When courts fail to function like an enterprise, this can inhibit the public's access to the court. The same is true for inconsistent services and service interfaces – whether in person at the courthouse, or on-line. Implementation of a minimum level of technology is required to ensure all citizens receive a more comparable level of services provided by the courts, without regard to county of residence. This business need includes bandwidth, core function technology services detailed in section VI.A.1. of this report, and staff to support, operate, and maintain these systems. At present, service levels vary by county due to disparate county funding; therefore, one feature of the plan is to provide a minimum level of technology for all trial courts, which will allow them to meet their constitutional and statutory requirements. Estimated costs for this solution are below:

Core Function Support for Smaller Counties	$4,150,195
Bandwidth	$1,260,988
Information Resource Management Consultants (20 FTE, 1 per Circuit)	$2,080,460
Information Systems Analysts (45 FTE)	$3,173,985
Training and Education	$337,500
Solution III Subtotal	**$11,003,128**

Impact of Not Funding the Comprehensive Plan

In the event that a comprehensive strategy for addressing trial court technology needs is not funded, the State Courts System (SCS) will face significant challenges in the upcoming years as technology continues to be integral to the effective operations of the trial courts: 1) technology will be funded in a reactive rather than proactive approach, exposing the SCS to increased risks for large system failures; 2) inequality in county funding for technology will continue to create inconsistencies in the tools that trial courts use to deliver services to citizens around the state; 3) the SCS will remain in the position of filing piecemeal requests with the Legislature to implement, support, and refresh various technology projects; and 4) the citizens will not receive all of the benefits and efficiencies that technology facilitates in the trial courts.

2. Business Objectives

The guidepost for the *Florida Trial Court Technology Strategic Plan: 2015-2019* (Plan) is the primary mission or "business" of the courts – protecting rights and liberties, upholding and interpreting the law, and providing for the peaceful resolution of disputes. Because the courts' constitutional responsibility is to adjudicate cases, the Plan focuses on the responsibility of the courts to promote the prompt and efficient administration of justice and the technological tools needed to effectively manage cases and court resources. The Plan identifies the business capabilities, or objectives, necessary to ensure the technology fully supports the courts' primary mission. These objectives include:

- Providing a more consistent level of court services statewide by establishing and funding a minimum level of technology to support all elements of the State Courts System enumerated in section 29.004, Florida Statutes.

  - Citizens have access to a consistent level of minimum court services, regardless of geography
  - The official court record is made in an accurate and reliable manner statewide
  - Court interpreter requests are met in a timely manner with certified or qualified staff
  - Judges receive complete, accurate, secure, and real-time information from various data sources
  - Reliance on paper files and manual file movement is reduced

- Implement best practices for funding by incorporating full life cycle costs of all trial court technology ensuring long-range functionality and return on investment.
  - Technology needs are evaluated to include full life cycle costs
  - Resources are managed in a proactive rather than reactive manner
  - Technology is acquired and deployed statewide in a strategic process
  - Systems are refreshed prior to reaching obsolescence

- Sustain the systems and applications in the trial courts by a) ensuring courts have appropriate staffing levels available to support technology demands; and b) improving training and education for staff.
  - Judges and court staff receive timely assistance from knowledgeable technical support staff
  - Court staff receive education and training to maintain contemporary knowledge of technical systems and applications
  - Court staff retention is improved, resulting in human resource-related cost savings.

B. Baseline Analysis

1. Current Business Process(es)

To establish a baseline analysis, each element of the current business process was evaluated.

Solution I: Secure Case Management and Processing System. To address local need, judicial circuits have developed several court data collection systems to perform case processing and resource management needs. Although the needs addressed in these systems are common to the courts, years of piecemeal development have resulted in system incompatibility and inconsistencies in data collection. To overcome these disparities, the trial courts need a statewide integrated approach to data management and a more comprehensive performance evaluation tool.

Solution II: Court Reporting and Court Interpreting. Court reporting and interpreting services have evolved in light of technological advancements in the industry. Most circuits have now incorporated Computer-Aided Transcription (CAT) and/or real-time stenography as well as integrated digital audio/video technology as part of an overall blended service delivery model. Further, several circuits currently use remote audio/video technology to provide interpreting services. This technology enables circuits to improve access to qualified interpreters throughout the state.

The major input for these services are the proceedings or court-managed activities that are required to be recorded or interpreted. For court reporting, recordings must be created and stored; therefore, when a proceeding is recorded by a stenographer, an official hard-copy transcript may be produced and provided to a requesting party. When a proceeding is audio/video recorded, a copy of the recording may be provided through a CD or DVD, as an alternative to the transcript. During FY 2014-15, approximately 1,053,053 transcript pages and 24,549 media copies were produced statewide for judges, state attorneys, public defenders, private attorneys and other parties to a case. Court reporting services are delivered using a blended service delivery model that includes both stenography and digital court recording technology. Proceedings with a high probability of a hard-copy transcript being requested (e.g., Capital Murder cases) are best served by stenographic court reporting. Most other case types, which do not have a high probability of needing a hard-copy transcript, are better suited to digital court reporting (which costs less).

Court interpreting services are delivered either in person or remotely with the assistance of audio/video communications technology. On March 27, 2014, the Supreme Court adopted several court rule amendments to improve court interpreter qualifications, affording more highly skilled individuals preference in appointment by the courts. The amended rules, which became effective on May 1, 2014, require compliance with rules of professional conduct by all persons who are appointed by the courts to provide interpreting services. See *In Re: Amendments to the Florida Rules for Certification and Regulation of Court Interpreters, No. SC13-304* (March 27, 2014). In light of these recent rule changes, circuits are working towards implementing audio/video remote interpreting technology to achieve improved access to qualified interpreters, thereby maximizing their use across the state. In doing so, limited resources can be made available to better match demand.

During FY 2014-15, approximately 301,176 interpreting events occurred statewide. With the continued integration of video remote interpreting technology, proceedings may be covered using qualified remote interpreters from distant areas where resources may be more readily available. Other proceedings in which a high volume of interpreting is needed, such as Spanish, may continue to be covered by an in-person interpreter.

To provide necessary coverage for the proceedings that are required to be interpreted and/or recorded, court managers coordinate with clerk of court staff, judicial assistants, and case managers who are responsible for scheduling hearings. Implementation of court reporting and interpreting technology occurs gradually, typically beginning 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 technology is expanded to other divisions.

Solution III: Support for Minimum Level of Technology. At present, technology services and staff support vary between the 20 judicial circuits and 67 Florida counties. These services are funded through state and county funds but there are competing priorities for limited shared resources paid for by the county. Additionally, increased bandwidth is needed to ensure sufficient transport of all data transmission across the network and allow information from court-specific technology systems to flow across county and circuit lines. Fifteen of the twenty

judicial circuits are multi-county circuits and experience difficulty in sharing resources across county lines or providing equitable services within the circuit due to variations in county support. Court technology staff includes both county and state funded employees while many new technology initiatives are court-specific and need dedicated, well-trained staff support, which varies between counties as is illustrated below.

Current Resources

State Funded Technology FTE Positions

- 1 Trial Court Technology Officer FTE position per circuit
  - Implement and maintain current technology investments
  - Anticipate and plan for future technology needs of the courts
  - Coordinate and manage both state funded initiatives and county funded technologies

County Funded Technology FTE Positions

- Varied levels of FTE support throughout the state
- Current levels of technology services vary across circuits and counties
- Competing priorities for limited shared resources
- Difficulty in sharing resources across county lines
- Difficulty providing equitable services within circuits due to variations in county funding support

2. Assumptions and Constraints

Assumptions - As previously introduced in the statement of business need, the future of the court will involve technology at an ever-increasing level. The shift into the digital environment is being accelerated by the clerk of court's transition to a digital business model and society's growing reliance on electronic resources.

Constraints - While not unique to the Florida courts, the following constraints are acknowledged:

- There are a number of governing bodies, both internal and external, that are responsible for various aspects of trial court technology.
- Funding resources do not match expected levels of service.
- Levels of service provided are not consistent across the state, even at a minimum level.
- Access to court information is not standardized, complete, or timely.
- Additional training opportunities are needed for technology staff.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

To establish the necessary business process requirements, the Office of the State Courts Administrator (OSCA), with facilitation by the National Center for State Courts (NCSC), organized a two-day workshop of key leaders in court technology in August 2014. The Trial Court Administrator and Court Technology Officer from each of the 20 judicial circuits attended the workshop. The participants identified guiding principles, identified and prioritized business capabilities, and determined required corresponding technical capabilities. Subsequently, the Trial Court Budget Commission's Trial Court Technology Funding Strategies Workgroup refined these business capabilities and aligned them with required technical capabilities. The resulting plan identifies the necessary business capabilities and corresponding technical capabilities the trial courts must possess in order to function effectively. To arrive at these capabilities, the plan adopts the court's constitutional responsibility as its business mission – the "business" of the court is the prompt and fair adjudication of disputes. The following business capabilities were identified as most critical:

- Provide a more consistent statewide level of court services by establishing and funding a minimum level of technology to support all elements of the State Courts System enumerated in section 29.004, Florida Statutes.

  Discussion. The scope of this capability encompasses all systems and applications in the trial courts, including the Court Application Processing System, remote interpreting and expert witness systems, and systems that allow the courts to accurately make the official court record. To establish statewide standardization, this capability requires minimum levels of essential core court technology services.

- Implement best practices for funding by incorporating full life cycle costs of all trial court technology which ensures long-range functionality and return on investment.

  Discussion. Such best practices identify complete life cycle costs for all proposed projects and includes cost/benefit analyses. The scope should include proactive analysis of information technology resource needs and planning to avoid operating in a reactive mode. Development of funding proposals should be conducted through an enterprise approach, with adequate oversight for technology and accountability for financial resources.

- Sustain the systems and applications in the trial courts by a) ensuring courts have appropriate staffing levels available to support technology demands; and b) improving training and education for staff.

  Discussion. Current levels of technology staff support vary across circuits and counties. There are competing priorities for limited shared resources paid for by the county. Additionally, multi-county circuits can have difficulties in sharing resources across county lines or providing equitable services within the circuit due to variations in county

support of staff. Many new technology initiatives are court specific and need dedicated, well-trained support staff.

2. Business Solution Alternatives

There are many equally valid approaches to successfully implement technology projects of this scale. Each approach has advantages and disadvantages, and some challenges are simple to solve in one approach, while more complex in another. When considering any long-term technology project, the trial courts realize it is critical to determine a specific approach and then maintain that approach. Moving from one approach to another and back again because the solution to a particular challenge is a little simpler "on the other side of the fence" inevitably reduces a system's effectiveness through unintended consequences and typically results in development delays and cost overruns.

In the process of selecting a viable business solution, the trial courts considered the two most common technological design options while remaining committed to the goal of the courts' technology projects, which is to provide the judiciary and other court managers the tools necessary to accomplish their adjudicatory and management functions efficiently and effectively. Each design option requires substantially different development paths to implementation. One is a single-system approach also known as monolithic.[3] The second is a multiple-systems approach, which includes both modular[4] and hybrid[5] system designs.

Option One: Single-System Development Approach. Under a single-system approach, all requirements for a complete court management system are identified at once and released together under one full specification. There are certain advantages to this approach, such as tight control and better resistance to problems like feature creep.[6] However, a single-system approach would not produce a tangible work product for at least two to four years. Further, it is the least flexible approach, in that the very efficiencies offered would also create interdependencies that would complicate the final system's ability to adapt. For example, under a single-system approach, all of the functions of the system are consolidated into one tightly integrated application. Although tight integration provides opportunities for system efficiencies and uniformity, it is typically not possible to separate functions and operations or make changes to one set due to the impact it may have on another set.

Several circuits have already benefitted significantly from local efforts to integrate technology. A single-system approach would provide little value or structure to these existing development projects. Ultimately, local existing development projects would drastically alter or cease all together if a monolithic system were imposed, resulting in a loss of return on "established costs" and time investments made by numerous stakeholders around the state. Since a monolithic type of system requires an all-in-one development approach, it eventually leads to a single vendor

[3] There are a number of potential problems associated with monolithic systems including, but not limited to: configuration, proprietary design, modification limits, obsolescence, support, and vendor lock-in.
[4] A "modular system" is a system in which all of the major court functions are divided into discrete, independent applications that share data and services via a defined application program interface.
[5] A "hybrid system" expresses characteristics of both modular and monolithic systems.
[6] Feature creep is referred to as the tendency for product requirements to increase during development beyond those originally planned sometimes leading to cost overruns and quality issues.

lock-in which over time, can become very costly and may reduce the overall effectiveness of the chosen system.

Option Two: Multi-Systems Development Approach. The second approach to systems development is to break the final system into broad but distinct areas of court management. The systems specifications for these distinct areas are developed independent of the other areas. Advantages to this approach include maximal opportunities for partial implementation of court management solutions as well as the greatest opportunity to absorb existing development specifications. A key disadvantage is an increased chance that later components will possess features that are incompatible with earlier components, but thoughtful planning will mitigate this risk.

Historically, the court system has benefited from multiple-system solutions. This is primarily due to the fact that incremental, modular development can be accomplished as a series of short-term, targeted projects that produce usable results ready for field deployment. There are 11 interrelated functional areas that partition the activity of the court system into distinct groups. From a larger court management perspective, these functional areas can be viewed as modules within a court data system. A completely modular system provides each of the 11 functional modules as independent, standalone systems that interact via the sharing of data and services. A hybrid system combines design elements of both a monolithic and a fully modular system. For example, the 11 previously-defined functional modules could be condensed into fewer operational modules.

One major benefit of a multiple-systems approach is that it offers maximum flexibility. Jurisdictions can leverage existing infrastructure and multiple vendors can be employed to provide modules, ultimately driving down costs through competition. In addition, jurisdictions can select the modules that most appropriately meets their operational needs.

3. Rationale for Selection

The court system has not implemented a comprehensive, branch-wide data management system; however, each circuit and county has implemented some form of data management system in the last 15 years. Several conclusions have emerged, which form the rationale for selecting a viable business solution:

- There should be clear court authority over trial court technology.
- Resource planning should be prioritized based on business needs.
- Funding levels should match defined and required levels of service.
- There should be a consistent minimum level of court services provided across the state. Because resources of local courts will always vary to some extent, this fourth principle is intended to support a consistent *minimally acceptable* level of services statewide. It is intended to establish a floor for available services – not a ceiling or a rigid level.
- Access to court information should be standardized, complete, and near real-time.
- Staff supporting court technology should be competent and well trained.

4. Recommended Business Solution

To identify a solution, a review of the major system design approaches was conducted in the context of the State Court System's business, organization, and technical environment. The trial courts recommend the Multi-Systems Development Approach (Option 2) as the only viable solution to address their business needs.

This option will allow the courts to complete the implementation of the CAPS system; improve the delivery of court reporting and court interpreting services; and support a minimum level of technology in all jurisdictions. Additionally, under this multiple-systems approach framework, the courts will have the capacity to continue to build upon existing data management system investments, achieve interoperability between internal and external systems, and increase our functional lifespan on present equipment as well as overall return on investment.

D. Functional and Technical Requirements

The following functional and technical requirements are associated with the need to provide a more consistent level of court services statewide by establishing and funding a minimum level of technology to support all elements of the State Courts System enumerated in section 29.004, Florida Statutes:

- Identify common services.
- Determine the core minimum service levels required.
- Develop minimum standards for technical support of common services and service levels.
- Estimate adequate enterprise funding needs for required services and service levels.
    - Based on state and county funding.
    - Based on funding requirements for circuit-wide functions that cross county boundaries.
- Continue development of the statewide, Court Application Processing System, that provides consistent access to and availability of information across the counties and circuits.
- Identify and develop specifications for standard data exchanges, both internal and external.
    - Standardize data definitions and data entry rules for key court information.
    - Establish internal user support groups for existing systems and applications.
- Identify and provide a consistent statewide level (or several defined levels) of services for remote interpretation and remote expert witnesses (functional requirements, availability of qualified staff, network bandwidth, internal court wiring, etc.), which allows for pooling of limited resources for certified interpreter and expert witnesses. This will provide a more cost effective and consistent level of services across the state.
- Install replacements and provide adequate continuing maintenance for standards-based videoconferencing equipment to support use of remote interpretation and remote expert witnesses as needed.
- Identify and provide a consistent statewide level of services for digital audio/video recording, to include the expansion of digital court reporting equipment in necessary courtrooms and hearing rooms not already outfitted with the technology.

- Install replacements and provide adequate continuing maintenance for standards-based digital audio/video recording equipment, to ensure consistent capturing of the official record across all circuits.
- Provide contract consultants through OSCA for small circuits/counties with minimal required services and inadequate funding and technology resources.

The following functional and technical requirements are associated with the need to implement a best practice process for funding by incorporating full life cycle costs of all trial court technology which ensures long-range functionality and return on investment.

- Identify and support the ongoing development and implementation of an enterprise view of technology for the judicial branch.
- Plan strategically for deployment of technology, utilizing limited resources.

The following functional and technical requirements are associated with the need to sustain the systems and applications in the trial courts by a) ensuring courts have appropriate staffing levels available to support technology demands; and b) improving training and education for staff.

- Provide a minimum level of information technology staff in all 20 judicial circuits to ensure circuit-level dedicated resources to support all statewide, court-specific technology systems.
- Acquire additional commercial automated/online training resources for judicial officers and staff, in order to ensure that technology is fully utilized and supported statewide.
- Acquire additional or improved training modules for vendor-provided court applications.
- Establish an enterprise usability lab for court applications and websites.
- Create a comprehensive set of online functional training modules for court staff.
- Identify technical training shortfalls for information technology staff as technology needs grow and change.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
Solution I: Secure Case Management and Processing System				
1	Provide access to accurate, timely, and complete information to judicial staff[7] to process and adjudicate cases	Continue to implement standards that effectuate equitable statewide deployment of functionally compatible information technology infrastructure within the judicial branch	All judicial staff, stakeholders, and public	Varies by Circuit
2	Maintain information storage technology to support all elements of the court system, including implementation of electronic case files (e-filing)	Institute policies and uniform standards to ensure comprehensive case management information systems that integrate with case maintenance systems of the clerks of court	All judicial staff, stakeholders, and public	Varies by Circuit
3	Improve the efficiency of adjudicating court cases	Expand and integrate information technology systems statewide that support best practices within the courts including resource management and performance measurement systems	All judicial staff, stakeholders, and public	Varies by Circuit
4	Improve the timeliness of providing access to the official court record	Continue to improve data sharing and date integration with justice system partners	All judicial staff, stakeholders, and public	Varies by Circuit
5	Provide support for, maintain, and refresh technology critical to ensuring the trial courts statewide are able to meet the needs of all stakeholders	Enhance the capacity of the State Courts System to manage court resources and services in a cost-effective and accountable manner	All judicial staff, stakeholders, and public	Varies by Circuit
Solution II: Court Reporting and Court Interpreting				
1	Improve consistency in required court reporting and interpreting services provided statewide (outcome)	Examine compliance with common service definitions, consistent service level agreements, and defined resource requirements	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case	09/17
2	Increase in the number of digital court reporting recordings and remote interpretations statewide (outputs)	Examine the number of digital court recording hours and number of remote interpreting events/hours	Judges, state attorneys, public defenders, conflict counsel, private	09/17

[7] For purposes of this table, and the Benefits Realization table, "judicial staff" includes judges, quasi-judicial officers, case managers, judicial assistants, and court administration staff.

			attorneys, pro se litigants, and other parties to a case	
3	Containment of overall operational cost of providing court reporting and court interpreting services (outcome)	Examine overall existing operational costs in comparison to operational cost changes that occur with the support of technology	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case	09/17
4	Improvement in the timeliness of providing access to the records of court proceedings and interpreter services (outcome)	Examine the time from when services are requested to when services are rendered	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case	09/17
5	Improvement in the overall quality in court interpreting services (outcome)	Examine the number of court interpreting events conducted by qualified interpreters versus lesser-qualified interpreters	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case	09/17
Solution III: Support for Minimum Level of Technology				
1	Provide a consistent level of court services statewide to support all elements of the State Courts System	Compare services provided in those counties where a funding gap exists to service levels in counties that provide services at at least a minimum level	All judicial staff, stakeholders, and public	Varies by Circuit
2	Provide appropriate staffing levels to support technology demands	Provide a consistent level of minimum information technology staff support in all 20 judicial circuits around the state	All judicial staff, stakeholders, and public	Varies by Circuit
3	Provide the infrastructure to allow additional transport methods from court-specific technology systems to flow across county and circuit lines and throughout the state	Expand bandwidth levels to support a consistent level of data transmission across the network	All judicial staff, stakeholders, and public	Varies by Circuit
4	Provide knowledgeable staff to support all statewide, court-specific technology systems	Improve staff education to provide knowledgeable technical support to the judiciary	All judicial staff, stakeholders, and public	Varies by Circuit

IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
Solution I: Secure Case Management and Processing System					
1	Provides consistent access to and availability of data across counties and circuits	All judicial staff, stakeholders, and public	Expedites and streamlines the processing of cases and the generation and processing of orders and notices disseminated electronically for internal and external users	Monitoring data of cases being adjudicated in a timely manner	Varies by Circuit
2	Provides complete information to judges, from different data sources, which allows for improved efficiency in judicial decision-making	All judicial staff, stakeholders, and public	Judges can review documents in a case from anywhere and will not have to log into the local network to access documents, add notes, sign orders, etc.	Monitoring data of cases being adjudicated in a timely manner	Varies by Circuit
3	Allows judges to electronically receive, manipulate, and manage the electronic record	All judicial staff, stakeholders, and public	Judges can view electronic dockets for future dates and pull up cases and documents from those cases for review	Monitoring data of cases being adjudicated in a timely manner	Varies by Circuit
4	Provides a means for secure electronic transmission of documents among the courts and the clerks of court	All judicial staff, stakeholders, and public	Documents and forms are generated electronically and allows for the documents to be transmitted securely	Monitoring data of cases being adjudicated in a timely manner	Varies by Circuit
5	Provides efficiencies in judicial and staff time	All judicial staff, stakeholders, and public	Alleviates delays associated with the judge, case manager or staff having to wait for the paper case file to be delivered by the clerk before reviewing, case managing or taking action on a case	Monitoring data of cases being adjudicated in a timely manner	Varies by Circuit
Solution II: Court Reporting and Court Interpreting					
1	Improved access to court reporting and court interpreting services	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants,	Technology will enable stakeholders, in appropriate proceedings, to receive copies of audio recordings on CD versus waiting for a stenographer to provide transcripts. Video	Examine the number of CD's produced and remote interpretations provided.	09/17

		and other parties to a case.	capabilities will enable court interpreters to be available in a timely manner versus waiting for an interpreter to appear in person.		
2	Improved quality to court interpreting services	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case.	Ability to access state certified interpreters is enhanced due to call manager that routes callers to state certified pooled interpreters first	Examine the number of events provided using state certified/duly qualified interpreters versus non-qualified interpreters.	09/17
3	Improved timeliness in court reporting and court interpreting services	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case.	Technology will enable interpreters to interpret simultaneously as opposed to consecutively providing quicker delivery in services. With the use of technology, stakeholders may receive a copy of a recording almost immediately following a court proceeding.	Examine the time from when services are requested to when services are rendered.	09/17
4	Increased opportunity to expand coverage of proceedings	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case.	Technology will enable qualified interpreters to be provided to litigants over a much broader geographical area where qualified in-person interpreters may not be available otherwise.	Examine the number of remote court interpreting hours/events in rural areas of Florida and within other states	09/17
5	Increased opportunity to contain staffing and contractual costs	Judges, state attorneys, public defenders, conflict counsel, private attorneys, pro se litigants, and other parties to a case.	Interpreters are able to conduct more interpreting events due to reduction in administrative, scheduling, and traveling related tasks	Examine the staffing and contractual costs, including expense travel costs, and number of interpreting hours performed daily	09/17
Solution III: Support for Minimum Level of Technology					
1	Provide a minimum level of information technology services in all 20 judicial circuits	All judicial staff, stakeholders, and public	Provide judicial circuits necessary resources to be able to deliver a minimum level of technology services	Monitor technology services in each circuit to ensure all requirements are met	Varies by Circuit
2	Provide a consistent	All judicial staff,	Provide circuit-wide support of	Monitor	Varies by

	level of minimum information technology staff support in all 20 judicial circuits	stakeholders, and public	the statewide, court-specific technology systems that exist in the trial courts	workloads to ensure sufficient staff is housed in each circuit	Circuit
3	Allow information from court-specific technology systems to flow across county and circuit lines	All judicial staff, stakeholders, and public	Provide the capability for data to be transported in a timely and efficient manner	Ensure bandwidth is sufficient to transport all data	Varies by Circuit
4	Provide training for information technology staff to ensure skill sets keep pace with evolving technology so new court technology is supported equally across the state	All judicial staff, stakeholders, and public	Occasional staff needs are met using shared resources, avoiding project delays and/or costs to hire temporary/contract help	Monitoring training reports from automated and vendor-provided training modules	Varies by Circuit

B. Cost Benefit Analysis (CBA)

1. The Cost-Benefit Analysis Forms

Please see Appendix B for Solution I: Secure Case Management and Processing System

Please see Appendix C for Solution II: Court Reporting and Court Interpreting

Please see Appendix D for Solution III: Support for Minimum Level of Technology

V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary

The Risk Assessment Tool (Appendix E) submitted in conjunction with this Schedule IV-B was completed by staff of the Office of the State Courts Administrator (OSCA) in consideration of the associated comprehensive technology legislative budget request. Recognizing that many of the tool's questions address more narrowly-focused projects, OSCA requests the following considerations be taken into account:

- This plan represents multiple projects and components that will be implemented at multiple sites (courthouses) in all 67 counties that comprise the 20 judicial circuits of the trial courts.
- Historically, most trial court technology systems have been implemented at the local level, with oversight and project monitoring occurring by circuit-level staff more familiar with local needs. Due to the benefits of a localized management structure, this plan retains that approach but will also complement local project managers with a state-level project manager position. This position will, among other functions, assist the trial courts in planning for and deploying technology.

- To address local need and integration requirements, the trial courts have implemented different in-house and vendor based systems. There are 8 versions of the Court Application Processing System in use or under implementation throughout the state. The systems are discussed in greater detail in section VI.A.1.a. and in the *CAPS Viewer Implementation by Circuit and County* (Appendix F) document provides a detailed account of the implementation status for each county. Courts are also utilizing different systems for court reporting and court interpreting service delivery. While this does not pose a problem operationally, it does present difficulties in answering questions on the risk assessment tool.

Risk mitigation measures are discussed below.

Risk Mitigation

Strategic – Project objectives are clearly aligned with the State Courts System's mission and constitutional authority. Objectives were developed through a collegial process and are documented and understood by stakeholders; senior management remains involved in the project through completion stage. Proposed technology solutions are expected to produce a direct, measurable impact on business processes. To the extent possible (over 80 percent), project assumptions, constraints, and priorities have been defined. Externally, the public will experience consistent access to the trial courts and improved case processing time. Internally, judges, court staff, and other court partners will experience streamlined access to records, consistently provided services across jurisdictions, and increased availability of accurate and timely case data. These are all viewed as positive benefits of the proposed solution.

Technology Exposure – The State Courts System's management and internal staff has direct experience with implementation of these systems as demonstrated in two representative ongoing projects:

- CAPS – Court Application Processing Systems have been successfully implemented in one or more divisions of the trial courts. Funded from the National Mortgage Settlement, these systems include performance measures that provide valuable circuit-level data to assist state-level project managers.
- Shared Remote Interpreting Pilot – Five circuits are currently participating in a remote court interpreting pilot project. Initial results and user feedback from the pilot have been overwhelmingly positive. Recommendations for a shared statewide model are expected in late 2015.

This proposed technology solution will capitalize on the success of these projects and increase the courts' return on existing investment. Alternative solutions, including a single-system model, have been determined to be unfeasible for the scope and desired end-state of this plan. All technology standards utilized in development of this plan represent compliance with industry standards. Moderate changes to current infrastructure are identified; hardware and software capacity requirements are based on historical data and new system design specifications and performance requirements.

***Organizational Change Management* –** Moderate organizational change is expected as a result of this project, including:

Staff changes – Addition of approximately 65 new FTE dispersed throughout the 20 judicial circuits to support the minimum level of technology and the essential technology functions identified in this plan. This represents a 1.56% FTE count increase and less than 1% of the State Courts System's contractors are expected to change as a result of this plan.

Business process change – "Business" processes will change as a result of a streamlined case management system and enterprise-based court reporting and court interpreting service delivery.

These changes have been identified and documented to the extent possible (over 80%) and are expected to produce a positive impact on the organization. To date, an Organizational Change Management Plan has not been developed, but if appropriate funding is secured the State Court System will engage in activities that assist the trial courts in managing this change. The project is not expected to have any negative impact on Florida's citizens or other state or local government agencies with regard to the ways in which users access the State Courts System; however, it is anticipated that interactions between these groups will be improved as a result of this project. As a result of Revision 7 to Article V of the Florida Constitution, the State Courts System successfully managed the shift of technology funding from the state budget to the 67 respective county budgets. That shift represented an organizational transformation on a much larger scale than is expected as a result of this project, but demonstrates the State Courts System's ability to manage large-scale change.

***Communication* –** The State Courts System prides itself on fostering a collegial environment where solutions are developed by Supreme Court-appointed councils and committees comprised of judicial branch leaders from around the state. The project adopts the *Florida Trial Court Technology Strategic Plan: 2015-2019* (Appendix A) as its de-facto Communication Plan. The plan was approved by the Trial Court Budget Commission and adopted by the Florida Supreme Court. In addition, the Trial Court Budget Commission, the Florida Courts Technology Committee, the Judicial Management Council, and other related committees of the branch meet regularly and discuss the progress of all branch-wide projects, as well as any pilot projects, or local projects of greater concern or interest.

***Fiscal* –** A spending plan has been approved by the Trial Court Budget Commission and is proposed in association with this legislative budget request. Estimates (see Appendix G) are based on historical funding requirements and staff's best efforts to account for all known project costs as well as tangible and intangible benefits. Although funding is being sought at the state level, the decentralized nature of the trial courts dictates that procurement plans will be developed at the circuit level. No state-level contract manager is anticipated in association with this project as contracts are executed at the circuit level. In addition, due to the specialized nature of the equipment associated with court technology, equipment leasing has been determined to be impractical.

***Project Organization* –** A state-level project manager position will be available to assist circuits with project organization and implementation. This position, housed in OSCA, will

provide project management and high-level oversight of the proposed plan. The Trial Court Budget Commission will also vet many aspects of the project in their capacity as decision-makers over all trial court budget matters, to include all changes in project scope and estimated costs. Project staffing needs have been evaluated, resulting in the previously referenced funding request for 65 additional FTE to be located throughout the state. However, specific staffing plans will be developed at the circuit level.

Project Management **–** This project will be managed with high-level oversight by the OSCA-supported position referenced above, through consultation with the State Courts System executive management teams (Trial Court Budget Commission and Florida Courts Technology Commission). Once circuit-level funding is allocated, the executive management teams in the circuits (Trial Court Administrators and Trial Court Technology Officers) will be responsible for management and implementation at the local level. Circuits are encouraged to adhere to the project implementation plans discussed in section VII of this document.

Project Complexity **–** The State Courts System has implemented technology projects of similar complexity. This project involves a central project-oversight team at the state level and multiple implementation team members at the circuit level; end users are dispersed across over 67 sites (courthouses) statewide. The project is not expected to impact state operations or external entities, but is projected to have a positive impact on State Courts System business processes and infrastructure.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The current information technology environment includes both state and county owned equipment, systems, hardware, and software. These systems contain legacy hardware and software as well as more recently developed or acquired technology tools. Each of the 20 judicial circuits has acquired and deployed new technology enhancements to varying degrees.

To establish statewide interoperability standards, the Supreme Court of Florida and the Office of the State Courts Administrator developed the *Integration & Interoperability Document* (Appendix H). The requirements and standards in this document were defined by analyzing functional requirements, current information architecture, and infrastructure reports, and applying that knowledge to a solution that reflects the current state of the information management industry standards and best practices for integration and interoperability. However, current systems vary in requirements since a historical lack of funds, equipment, and support staff has impeded implementation of new initiatives. Over the past few years many circuits have been unable to advance programs and projects as funding was not available either at the county or circuit level.

a. Description of Current Systems

Solution I: Secure Case Management and Processing System. As previously noted, courts have moved from a primarily paper-based production environment to an increasingly electronic environment. When a party files a document in the court system, the filer logs into the E-portal and submits the filing electronically. The E-portal serves as the transport mechanism for all case filings and transmits the filings to the appropriate clerk of court's office, placing them into a queue for staff review. Once the clerk accepts the filing and the local case management system is updated to reflect new filings, a copy of the data is sent to the Court Application Processing System (CAPS). Currently, 50 counties have implemented CAPS in either one or both the civil and criminal divisions of court (see Appendix F).

There are 8 CAPS systems, developed in-house or purchased through a vendor, in operation in the trial courts (see below). All are customized for court operations and are not considered off-the-shelf products. In order to meet established standards of operation, each system must attain certification through the Florida Courts Technology Commission's (FCTC) Certification Subcommittee by meeting all standards outlined in the *Functional Requirements Document For Court Application Processing System* (Appendix I) and must comply with the current version of the *Florida Supreme Court Standards for Electronic Access to the Courts* (Appendix J).

Mentis – Mentis Technology Solutions, LLC. is a private software company specializing in document indexing and redaction as well as providing a paperless court alternative for judicial systems. The Mentis court case and document management system is called aiSmartBench and is the chosen solution for 10 judicial circuits in Florida. Mentis has worked independently with each circuit to build a customized solution to meet local needs. Mentis received full certification on April 30, 2013.

Pioneer – The Pioneer Technology Group is a private software development company offering a paperless case processing and document management solution called Benchmark. The 7th Judicial Circuit, along with Sarasota County in the 12th Judicial Circuit, have selected Pioneer as their CAPS vendor and are working with the vendor on a customized system to meet their needs. Pioneer received full certification on March 6, 2014.

ICMS – The Integrated Case Management System, or ICMS, is an internally developed CAPS system developed by the Court Technology Officer in the 8th Judicial Circuit. This system was custom built to serve the needs of the circuit and has been operating there successfully since 1999. The 10th and 14th circuits and Brevard County of the 18th Judicial Circuit have now implemented the same ICMS solution. ICMS received full certification on March 6, 2014.

JAWS – The Judicial Automated Workload System is an in-house system developed in the 13th Judicial Circuit and later adapted for use in the 6th and 16th circuits. JAWS received full certification on April 30, 2013.

CORE – The Clerk Online Resource ePortal (CORE) system is an in-house solution developed by the clerk of courts for Duval County. The system has been implemented in Duval County and is underway in the remaining counties of the 4th Judicial Circuit (Clay and Nassau counties). The

certification subcommittee is scheduled to review the CORE system at their September 2, 2015 meeting.

Other In-house Systems - The 17th Judicial Circuit developed a web service system primarily for use in the civil divisions. After initial deployment, they continued enhancing the system to customize it for other court types. They will provide a demonstration of their system to the FCTC certification subcommittee on August 31, 2015. Seminole County has implemented an internally developed CAPS system that allows court to be conducted without paper files. The in-house system is not CAPS certified. The 15th Judicial Circuit has implemented a customized version of ICMS solution to best address their local needs and are scheduled to present a demonstration of this modified version to the certification subcommittee on August 31, 2015.

The goal of CAPS is to provide judges the capability to view and process electronic court cases effectively and efficiently. CAPS will allow the judiciary access to court records maintained by the clerks of court, and will include additional functionality such as case management reporting, calendaring, case notes, and processing of court orders. The judge will be able to send orders back to the clerks for processing, which allows for bi-directional data flow. The CAPS viewer system is a web-based application that can be accessed anytime, anywhere, and which allows the judiciary to work on cases at all times. With the implementation of CAPS, the trial courts have the enhanced capability for efficiently and effectively processing cases.

The National Mortgage Settlement provided funding for technology resources to allow for integration, expansion, and enhancement of current technology resources permitting the circuits to implement CAPS. The system requires continuing maintenance and support to maintain the judicial case management and workload of the courts. The performance requirements of the judiciary drive the need to define an environment that can fulfill the needs of judges and court staff as they interact with the public and other state agencies. Florida courts need to be equipped to participate effectively in the emerging electronic courts environment. An example of existing system requirements, built to serve as a model for performance measurement, is the *FY 2014-15 Foreclosure Initiative April 2015 Status Report* (Appendix K).

Solution II: Court Reporting and Court Interpreting.

Court Reporting. Currently, all 20 judicial circuits employ a blended court reporting service model that includes both stenographic and digital audio/video court recording services:

1) Stenographic computer-aided transcription, which requires a computer device such as a desktop, laptop, or digital stenography machine to enable a 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.

2) Stenographic real-time transcription. This model requires two or more networked digital computer devices, such as desktops and/or laptops, to enable multiple participants of a court proceeding to view a live, unedited version of the transcript as a stenographer records a court proceeding.

3) Local digital court recording. This model involves portable devices such as a laptop or hand-held device (MP3 player) or standalone digital audio/video recording technology such as

a workstation. Generally, standalone recording systems are permanently located in a courtroom or hearing room and are typically operated by a digital court reporter. With these systems, a recorder can tag the recording, log speakers, make notations of who is present, and note certain non-verbal events. A reporter is also able to oversee sound quality and provide playback when directed to do so by the judge. Portable devices, such as a laptop, or hand-held devices (MP3 player) are used for off-site proceedings and can be operated by a judge or magistrate. With these systems, notes are taken to identify the speakers and then added to the recording by a reporter once the recording is returned to court administration for storage.

4) Integrated digital audio/video court recording solutions. These solutions are comprised of network-enabled devices that may be centrally monitored within a courthouse. Typically, control rooms are found in larger courthouses. In a control room, one digital court reporter monitors several courtrooms at one time. The reporter views up to four proceedings via video cameras mounted in courtrooms and the judge may give directions to the control room over a microphone or by telephone. This method can also involve remote monitoring of several different courtrooms in different courthouses from an off-site location.

Court Interpreting. The use of technology for interpreting services has become more widespread as the demand for more effective and efficient interpreting services continues to increase. Throughout most of the 20th century, interpreting services were primarily conducted in the consecutive mode, either face-to-face, or with the use of standard or speaker telephones. In recent years, technological advancements have made it possible to provide interpretations with the use of sophisticated digital audio/video communications systems. The following is a general description of the interpretation methods used today. Most judicial circuits today employ both on-site and telephonic interpreting. A few circuits employ integrated audio/video interpreting services.

1) On-Site Interpreting – Commonly referred to as "in-person" or "face-to-face" interpreting, these interpretations are rendered by an interpreter who is physically present in the same location as the speaker and all other parties. Interpretations may be delivered in both consecutive and simultaneous modes (e.g., in consecutive mode the interpreter waits for the source speaker to complete a sentence and then interprets; in simultaneous mode interpretations are rendered as the source speaker continuously speaks).

2) Telephonic Interpreting – Referred to as "over-the-phone interpreting," interpretations are delivered via telephone. Using a speaker telephone or phone with teleconference capabilities, individuals may call an interpreter when no interpreter is available on-site. Several agencies and vendors provide telephonic interpreting services (e.g., Language Line). In this format, the interpretation is typically delivered in consecutive mode.

3) Integrated Audio/Video Interpreting – Utilizes an integrated network system consisting of audio mixers, telephone lines, headsets, and, in most cases, cameras to enable interpreters to provide on-demand interpretation services to multiple venues from a remote location. Depending on the technical set up, interpreters may provide services from any location (e.g., office, home) and communicate directly with participants. Remote interpretation is delivered in simultaneous mode.

Solution III: Support for Minimum Level of Technology. The current technology environment for this solution is in a state of transition as new technologies are generating new expectations. As the courts become more electronic and online, the public and other court stakeholders expect access "24/7," but the courts are not currently staffed and resourced to provide that level of service and support. Funding levels should match defined and required levels of service. Listed below are the core technology functions that were determined any court should be able to perform, as compiled by a subgroup of the Trial Court Technology Funding Strategies Workgroup.

Server Management:

- Maintain and support the server infrastructure, storage, E-mail, virtual servers/infrastructure, backup server data, upgrades and server migration
- Qualifications – Data Center Engineer – VCP5 (VMware Certified Professional 5)

Network Services:

- Maintain and support all components comprising data, voice, video, wireless and security - infrastructure, disaster recovery, redundancy, and connectivity with other agencies/circuits
- Qualifications – Network Engineer – CCNP (Cisco Certified Network Professional)

Electronic Document Management:

- Configure, maintain and support devices connected to the network such as multifunctional devices, printers, scanners, faxes, etc.
- Provide print/scanning/faxing services to customers (internal and external)

Audio/Video Services:

- Provide support and operational services for audio and visual systems and cabling

Project Management:
(Depends on the circuit technology model and size of the circuit.)

- Manages projects, sets expectations and maps the benefits to the organizational needs and assures the solution will meet design objectives.
- Qualifications – PMP (Project Management Professional)

Help Desk/Desktop/Training:

- Provide Level 1-2 user support for any computer and application issues
- Provide training for new technologies/applications
- On Call/After Hours Support

Multi-Media Services:

- Provide development, support and maintenance for the court's website

Application Development:

- Provide application development, support and maintenance for the Judicial Viewer application - As well as other software to assist in the efficient electronic processing of the court's work flow
    - Does not include costs for enhanced functionality needs identified in the future

Digital Court Reporting:

- Provide maintenance and support on the digital court reporting hardware and software

Court Interpreting:

- Provide maintenance and support on the remote court interpreting hardware and software

b. Current System Resource Requirements

Solution I: Secure Case Management and Processing System. Regardless of whether CAPS viewers are developed in-house or purchased from a vendor, technology staff resources should manage the technical aspects of the project; judges should play key roles in the decision-making framework to ensure the tools that are designed to meet their needs on the bench and in chambers.

Judicial tools should be intuitive and quickly provide judges with access to their information with touch screen technology and/or a minimum of clicks or navigation. Developers should allow for interfaces with other systems and databases through such features as application program interfaces, data mapping and open systems.

Problems are now arising because the new technology capabilities did not come with life cycle funding to maintain and replace aging equipment and the courts now face budget challenges related to maintaining this technology on an ongoing basis. It is the intent of the State Courts System to continually support, maintain and refresh the technology that is critical to ensuring the trial courts statewide are able to meet the needs of judges, court staff and of the public whom they serve.

Solution II: Court Reporting and Court Interpreting. Court reporting and court interpreting technologies are comprised of many different configurations and types, including analog and digital components. The components can be grouped into four discrete categories.

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, processing 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 technology.
    a. Encoding Servers

b. Archive Servers
c. Monitoring Workstations
d. Digital Audio Adapters
e. Tape Backup Units
f. Servers to Support Call Manager Services

3) Media-Related Hardware and Embedded Devices – This category provides coverage of all equipment necessary to adapt the audible and visual analog proceeding. 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 court reporting and court interpreting systems. Elements commonly found are data and telecommunications equipment, wiring for audio, video and data networks, and equipment racks.

a. Any Communications Equipment Supporting Viewing Court Proceedings and Participants
b. Uninterruptible Power Supply and Power Conditioning
c. Furniture and Equipment Racks
d. Cable for Capturing Audio and Monitoring of Court Proceeding

Solution III: Support for Minimum Level of Technology. Florida courts provide a wide variety of services to the public and other court stakeholders, but the type and level of services provided is inconsistent across local jurisdictions. However, implementing consistent levels of service across the trial courts using technology is challenging and requires comparable resources statewide. Current technology funding for the trial courts has typically come from the counties' budgets, and some counties have more funds available from an existing $2.00 recording fee and other sources, to dedicate to trial court technology than other counties. The document titled, *The Analysis of Revenue Generated by the $2.00 Recording Fee* (Appendix L), helps to illustrate the challenges in the current county-level funding involved in supporting a minimum level of technology.

c. Current system performance

Due to the wide variance of equipment and hardware systems, availability and performance vary

greatly. While many circuits have fully redundant systems offering failover, other circuits are unable to offer redundancy for mission critical systems, staff to support these systems, or continued training programs to ensure that current and future employees are able to realize system effectiveness.

Solution I: Secure Case Management and Processing System. In Florida, the clerks of court operate essential basic case maintenance systems, as the official records custodian for the courts. In order to access those electronic records, to manage the cases throughout the system, and to manage the operations of the courts, the courts must have a viable case *management* system which can fully interact with the clerks' case maintenance systems. The courts require timely access to reliable information in order to function. While substantial progress has been made, and case management systems are fully available in some counties, in other counties case management systems are only available in some divisions. Florida's courts have made great advances in the use of technology to improve and enhance the efficiency, effectiveness, and timeliness of those processes which are critical to the management of information. Opportunities created by emerging technologies have provided the impetus for the judiciary to meet the multitude of challenges faced by our court system. The judicial branch is committed to improving the administration of justice, enhancing public access and service, and building public trust and confidence.

***Solution II: Court Reporting and Court Interpreting*.** Several concerns and issues have been reported by the circuits regarding the performance of existing court reporting technology absent a stable funding source to support replacement of these installations.

Currently, court reporting technology equipment is past life cycle timeframes. Much of the equipment that is currently in service is older equipment that should have been refreshed beginning in FY 2009-10. This older equipment is now creating performance issues and is putting circuits at greater risk for large system failures. Due to the increased cost of maintenance agreements, some circuits have discontinued vendor hardware maintenance support and transitioned to an in-house maintenance model. This occurred because circuits were able to rely on the assistance of county funding for IT support and to stock spares or salvage parts of older equipment. While county assistance for maintenance has been available to some circuits, the lack of state funding to support a periodic refresh of this aging equipment is placing a larger burden on existing staff and putting circuits at greater risk of outages. At some point very soon, the old equipment will simply fail. Circuits have expressed that due process is a critical service area that should have a proactive maintenance approach to avoid outages rather than a poorly supported break-fix model that inherently involves downtime that delays court proceedings.

It should be noted, while many circuits currently use county funds as a stopgap for items that are statutorily the responsibility of the state, most circuits indicate continued reliance on county funding assistance is causing a "ripple" effect on other local county technology initiatives. Many circuits have had to use limited county funds intended for other uses to fill gaps for critical need areas such as court reporting, which reduced funding available for the initially intended use. Thus, other local technology initiatives suffer if less money is available to support them. Since counties are not obligated to support state due process funding needs, there is no guarantee the necessary funding will be provided for court reporting equipment.

Lack of state funding to support refresh and upgrades in due process equipment will not only risk a failure of due process services, but will ultimately result in higher operational costs. Overall, the majority of circuits note how the trial courts have made substantial strides in bringing efficiencies to the delivery of these services. For example, the use of digital court recording equipment has been institutionalized in the trial courts and has been successful in containing the overall cost of court reporting services. The circuits continue to make strides in advancing efficiencies through piloting efforts of integrated audio/video court interpreting systems. Also, the trial courts have introduced in-house products such as OpenCourt (open source software) which promise to further contain court reporting costs.

In comparison to other states, Florida is at the forefront in utilizing audio/video technology to support both court reporting and court interpreting services. If state funding is not provided to support these prior investments, the court system will be set back several years. For instance, large system failures will result in circuits having to revert back to stenography for those events currently being cover by digital court recording technology, which will increase state costs and positions. This will result in significantly higher operational costs for the judicial system as more costly stenographers will be needed to match the current service level provided by digital court reporters (as digital court reporters are able to monitor/record up to four proceedings at once; stenographers are able to record one proceeding at a time).

Solution III: Support for Minimum Level of Technology. Current system performance for this solution is difficult to quantify based on 1) the many elements included in providing a minimum level of technology services and 2) at present, each of the 67 counties are providing these services in different ways. Some examples of these discrepancies are that information from court-specific technology systems currently cannot flow across county and circuit lines, providing the capability for data to be transported in a secure, timely, and efficient manner; technology staffing levels vary across the 67 counties and current staff are sometimes unable to work on state owned equipment or lack familiarity with court-specific technology systems; and developments and improvements are needed in server management, network services, electronic document management, and audio/video services so that circuits can provide a more seamless experience to court users.

2. Information Technology Standards

All Solutions. The *Integration and Interoperability Document* (Version 2.3) (Appendix H) describes in detail the use of integrated technology throughout the State Courts System. To ensure a uniform baseline for adequate coverage of court proceedings throughout the judicial branch, this document was developed by consensus and supported through active participation by the trial courts. It was subsequently approved by the Florida Courts Technology Commission (FCTC) and is continually reviewed and updated by the FCTC Technical Standards Subcommittee to meet the integration and interoperability in the judicial branch environment.

The *Integration and Interoperability Document* also identifies the data transmission of electronic communications systems and describes the integration of local county network infrastructure to the State Network as defined in Florida Statute 29.008(f)(2). Overall, this document supports the vision of the FCTC, relative to integration and interoperability among multiple heterogeneous

systems.

Solution I: Court Application Processing System. The FCTC adopted the *Functional Requirements Document for Court Application Processing System* (Appendix I) to provide specifications for CAPS to implement the use of information technology and electronic case files in the courtroom and in chambers by trial court judges and court staff. In addition to the functional requirements set forth in this document, systems must comply with the current version of the *Florida Supreme Court Standards for Electronic Access to the Courts* (Appendix J). These standards were promulgated in 2009 with the issuance of Supreme Court Administrative Order AOSC09-30 and were updated in 2014.

In 2015, Supreme Court Administrative Order AOSC15-18 (Appendix M) adopted the updated *Standards for Access to Electronic Court Records* and the associated *Access Security Matrix.* Both of these sets of standards are continually reviewed by the FCTC to meet the requirements of the judicial branch to receive, manage, maintain, use, secure, and distribute court records by electronic means.

Case maintenance standards for the clerks, as well as data exchange standards, are currently being developed to ensure that appropriate data is available for CAPS and that the system can be easily integrated.

Solution II: Court Reporting and Court Interpreting. As previously referenced, the technical requirements that describe the use of integrated technology throughout the State Courts System are detailed in the *Integration and Interoperability Document* (Appendix H*).* In addition, the *Technical and Functional Standards for Digital Court Recording,* updated in 2015,(Appendix N) and the TCBC's *Court Interpreting Technology Workgroup Report and Recommendations* (Appendix O) offer detailed descriptions on accepted standards for court reporting and court interpreting in Florida's trial courts.

Solution III: Support for Minimum Level of Technology. In order to perform judicial functions and to be responsive to the Legislature, stakeholders, citizens, and businesses in Florida, the courts must have a minimum level of resources to support all court technology and provide a minimum level of technology services as identified above in section VI.A.1.a. (see also Appendix P). Standards for this minimum level of technology have been developed over time and are documented in the *Florida Trial Court Technology Strategic Plan: 2015-2019* (Appendix A) and the Supreme Court's *Integration and Interoperability Document* (Appendix H).

B. Current Hardware and/or Software Inventory

With the exception of some court reporting and court interpreting equipment, current hardware and software has been purchased by local government agencies who retain title. As such, a complete hardware and software inventory would need to be coordinated with each county.

Solution I: Court Application Processing System. As part of the National Mortgage Settlement, the courts received funding for technology resources to allow for further integration, expansion, and enhancement of current technology resources including hardware, software

licenses, electronic storage, and programming/integration with the clerks of court systems. The *Status of Judicial Viewer Implementation* (Appendix Q), shows how this funding was allocated by circuit and the status of expenditures, prior to expenditures made during the certified forward process. Additionally, the *CAPS Viewer Implementation Timeline* (Appendix F), provides an overall view of CAPS implementation progress.

Solution II: Court Reporting and Court Interpreting. Each judicial circuit maintains an asset inventory referred to as the *Due Process Technology Inventory* (Appendix R). This inventory tracks all court reporting and court interpreting technology purchased with state or county funds. It 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.

Solution III: Support for Minimum Level of Technology. There is no current inventory associated with this solution, however, the *Analysis of Revenue Generated by the $2.00 Recording Fee* (Appendix L) helps to illustrate the challenges with current county funding involved in supporting a minimum level of technology and provides an indication of the level of services available in each county. The $2.00 fee, a service charge collected by the clerks of court from recording instruments, is distributed to the board of county commissioners to be used exclusively to fund court-related technology and court technology needs for the trial court, state attorney, public defender, and criminal conflict and civil regional counsel. Annually, the Department of Financial Services reports on revenue generated from the $2.00 recording fee as well as county expenditures for court-related functions funded from a variety of county funding sources. A representative example of variances in county funding is illustrated in the table below, which shows expenditures in the Twelfth Judicial Circuit. As the table illustrates, the amount of county funded court related technology expenditures is not always correlated with county size, and is often not sufficient to fund basic technology services.

County Funded Court Technology in the 12th Judicial Circuit		
County	**2013-14 Expenditures***	**Population Estimate****
Manatee	$351,866	345,734
Sarasota	$1,059,765	390,490
DeSoto	$11,129	34,423

*Based on DFS report reflecting county expenditures for court-related technology (Appendix L).
**Projections reported July 2015 by the Office of Economic and Demographic Research based on applying a growth rate to 2010 U.S. Census population data.

C. Proposed Solution Description

1. Summary description of proposed system

The courts are undergoing a substantial technology transformation. Just as technology has changed the way businesses operate and serve customers, it is also transforming the way the judicial branch functions and meets the needs of its customer – the individuals and businesses who rely upon the courts for the administration of justice and the provision of due process. Citizens, who are accustomed to interacting with businesses in real time via the Internet, expect technology-enhanced performance available on demand. Likewise, they increasingly expect

their court system to deploy technology to facilitate the effective, efficient, and fair disposition of cases in a timely manner. The proposed solution to these challenges emerged from the technology strategic plan (Appendix A) and are described in more detail below.

Solution I: Secure Case Management and Processing System: Cases that are filed electronically through the e-filing portal need to be accessed by judges and court staff in a format that allows them to view the information in real time from any location. The CAPS viewer systems are improving this kind of access to information for judicial officers. The present need is to complete a statewide rollout and to establish data and interface standards for improved interoperability to facilitate better data access from the clerks case maintenance systems and from other court stakeholders as well.
Based on the strategic plan, the following business capabilities, along with specific projects to support these capabilities, have been identified as critical to ensuring the trial courts are able to meet the needs of the public and of the judges and court staff who serve them.

- Continue development of the statewide court management information system that provides consistent access to and availability of data across counties and circuits.
- Address the technology needs in transitioning to a statewide implementation of uniform electronic case files and allow the courts to maximize the benefits of the statewide e-filing system by receiving, manipulating, and managing the electronic record.
- Provide a means for secure electronic transmission of documents among the courts and the clerks of court offices.
- Improve efficiencies in judicial and staff time.
- Reduce file movement among judges, judicial staff, and the clerks of court.
- Reduce reliance on paper files.
- Provide complete information to judges, from different data sources, which allows for improved efficiency in judicial decision-making.
- Maintain information storage technology to support all elements of the court system, including implementation of electronic case files.

Solution II: Court Reporting and Court Interpreting: The trial courts propose sustaining the use of stenographic machines for certain types of proceedings in which there is a high probability a transcript will be needed (e.g., capital cases). However, for many of the court proceedings that involve cases that are less likely to be appealed and are of shorter duration, the trial courts propose continuing with the integration of audio/video communications technology.

Continued implementation of emote interpreting technology will include a circuit-wide system consisting of conferencing equipment headsets, and, in most cases, cameras, to allow interpreters to provide interpretation services to multiple venues from a remote location. These systems will be implemented in a way that allows interpreters to be shared across circuit boundaries providing interpreter resources across a broader geographical area. Utilizing remote interpreting solutions will significantly reduce travel associated with interpreters having to walk or drive between courtroom locations. Further, downtime is reduced due to interpreters no longer having to wait

between hearings in one location. Remote interpretation will improve efficiency in case processing – court proceeding delays associated with consecutive mode interpreting will be reduced as remote interpreting technology supports the delivery of interpreting services in simultaneous mode. This technology will also improve effectiveness in service delivery as circuits can access state certified staff interpreters, thereby reducing reliance on lesser qualified interpreters.

Finally, remote interpreting will increase opportunities to share interpreter resources between circuits and other states providing better economies of scale. Other states such as Arizona and New York are moving ahead with statewide remote capability using various technological systems. Like Florida, Arizona is working with Cisco on statewide remote interpreting capabilities. New York already utilizes a fiber network to every court and a videoconferencing center that has been primarily used for internal court training, but can also be used to support remote interpreters in furtherance of a statewide model. As more states move toward integrating similar remote interpreter equipment around a national cloud capability, an initiative supported by the National Center for State Courts, states may achieve a greater pool of trained interpreters to perform remote interpreting. In recognition of these potential benefits, the National Center for State Courts is currently developing Standards for Shared Court Video Interpreter Network that states may use as a guideline for expanding technological resources.

Solution III: Support for Minimum Level of Technology. Resources are needed to provide a consistent level of minimum information technology staff support in all 20 judicial circuits around the state to provide circuit-wide support of the statewide, court-specific technology systems (i.e., Court Applications Processing Systems, digital court reporting and remote interpreting) that exist in the trial courts. Associated requirements include:

- Provide training for information technology staff to ensure skill sets keep pace with evolving technology, so that new court technology is supported equally across the state.
- Allow increases in information from court-specific technology systems to flow across county and circuit lines and throughout the state.

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

All Solutions. A projected budget for secure case management and processing systems (CAPS), court reporting technologies, court interpreting technologies, support for a minimum level of technology service, bandwidth, training, and staff support has been approved by the Trial Court Budget Commission. The table below shows projected costs for all solutions for fiscal year 2016-17. Appendix G shows projected costs FY 2016-17 and FY 2017-18.

Projected Budget for All Solutions		FY 2016-17
Solution I: Secure Case Management and Processing System (CAPS Viewers)		
1	*Expansion to All Judges*	$3,547,818
2	*Maintenance*	$1,856,988
3	*Hardware Refresh*	$433,333
4	*Enhancement*	$250,000
5	*Server Refresh*	$658,614
Solution I Subtotal		*$6,746,753*

Solution II: Court Reporting and Court Interpreting		
6	*Court Reporting Equipment - Expansion*	$796,577
7	*Court Reporting Equipment - Refresh /Maintenance*	$4,165,765
8	*Court Reporting / Open Court - Maintenance*	$175,000
9	*Remote Interpreting Equipment - Expansion*	$2,412,750
10	*Remote Interpreting Equipment - Refresh/Maintenance*	$0
	Solution II Subtotal	*$7,550,092*
Solution III: Support for Minimum Level of Technology		
11	*Core Function Support for Smaller Counties*	$4,150,195
12	*Bandwidth*	$1,260,988
13	*Information Resource Management Consultant (1 FTE Per Circuit)*	$2,080,460
14	*Information Systems Analysts (Based on Circuit size: 1 FTE small circuits; 2 FTE medium circuits; 3 FTE large circuits; 4 FTE extra-large circuits)*	$3,173,985
15	*Training and Education*	$337,500
	Solution III Subtotal	*$11,003,128*
	TOTAL	**$25,299,973**

Solution I: Secure Case Management and Processing System. Expanded detail on projected costs for each element of the CAPS project are provided in the table below. These costs estimates are based on standards developed in the *Functional Requirements Document for Court Application Processing System* (Appendix I) and incorporate each circuit's request for hardware, programming, software license, secure transmission of orders, and disaster recovery to implement and support their CAPS viewer based on vendors' compliance with established CAPS standards. The CAPS standards detailed in Appendix I are the functional requirements adopted by the Florida Courts Technology Commission (FCTC) which have been approved and implemented in existing CAPS viewer systems, but do not have specific cost estimates associated with each standard.

Each vendor has come before the FCTC certification committee and demonstrated its viewer in order to receive full certification and approval to move forward with implementation. The committee also conducts an annual review to determine which future enhancements will be deemed mandatory based on overall benefit on a statewide level. Once approved, each vendor has 180 days to adhere to the newly adopted standards. The $250,000 for CAPS Viewer Enhancements was estimated by calculating the costs of the additional requirements approved last year (i.e. Foreclosure Performance Measures). It is anticipated in the coming years that the work of the FCTC Data Exchange Workgroup, Judicial Management Council, Access to Civil Justice Commission, and Supreme Court directives will impact requirements and may necessitate additional enhancements.

The estimates for CAPS expansion to all judges represents the cost for completion of implementation of the system in the criminal and civil divisions for all 67 counties. The circuit breakout of the requested $3,547,818 for expansion of CAPS viewers to all judges is detailed in the *Statewide CAPS Viewer Implementation Estimates for FY16/17 LBR* (Appendix S), which lists each circuit's request for non-recurring costs for hardware, programming, software licenses, secure transmission of orders, and disaster recovery to implement and support CAPS viewers in all divisions. The amount shown represents what is requested by each circuit for their remaining

counties to implement a CAPS viewer. In addition, the *Hardware Refresh Inventory* (Appendix T) represents hardware, not including servers, purchased from National Mortgage Settlement funds in fiscal years 2012-13 through 2014-15, as well as hardware requested in fiscal year 2015-16. The hardware listed in this inventory, along with other hardware components that support electronic case files, is used as an inventory on which to base estimated refresh costs. Hardware refresh costs are based on a 3-year refresh cycle. CAPS server refresh estimates were calculated separately and are discussed below.

Additionally, the CAPS viewer systems must use reasonable measures to prevent service interruption and plan for continuity of operations if interruption occurs. The systems must be designed to minimize risk of data loss, but not limited to secure, regular and redundant data backup. The estimated costs for Disaster Recovery (DR) include redundant servers, back up appliances, software licenses (SQL, archiving, etc.) and other components that would require restoration of data that is backed up to run court operations in the event of a disaster. Other costs include DR server recovery software to archive viewer related data, disk arrays, and any offsite data storage. Just like with the CAPS viewers, each circuit determines what DR provider they will use, and determines what hardware needs to be purchased. Some circuits did not request any disaster recovery funding due to a number of factors such as the circuit may have redundant hardware and software previously configured in their CAPS viewer costs, the circuit already has a data center in a protected area, or the county provides the backup services.

The estimates for server refresh were developed in accordance with the existing server refresh policy, which is based on equipment age and was established to ensure the CAPS viewers are performing as if judges are utilizing paper files to manage their cases. Therefore, it is estimated that servers will need to be refreshed in each county every 5 years. To ensure each county's servers are refreshed, single-county circuits will transfer their annual allocation received during non-refresh years to a multi-county circuit with over 5 counties. The OSCA will oversee coordination of server allocations to ensure the server refresh schedule is maintained as needed.

Requested Required Resources	LBR FY 2016-17			Total Amount Requested
	Quantity	Non-Recurring	Recurring	
CAPS Viewer	**CAPS Viewer**			
Hardware:				
Monitors	140	$28,124	$0	**$28,124**
Workstations	93	$72,200	$0	**$72,200**
Servers	9	$87,000	$0	**$87,000**
Other computer hardware	202	$55,923	$0	**$55,923**
Hardware Total	**444**	**$243,247**	**$0**	**$243,247**
Programming:				
Integration with additional CAPS Enhancements		**$1,118,954**	**$215,000**	**$1,333,954**
Software Licenses:				
CAPS Viewer License fees		$82,550	$0	**$82,550**
MS SQL Server License fees/License to maintain system		$0	$31,200	**$31,200**
Software Licenses Total	**0**	**$82,550**	**$31,200**	**$113,750**

Secured Transmission of Orders:				
License Fees		$248,000	$0	**$248,000**
Implementation Services		$192,800	$0	**$192,800**
Annual Software Maintenance		$0	$48,800	**$48,800**
Programming (integration to portal)		$272,200	$0	**$272,200**
Other secured transmission of order items		$244,000	$0	**$244,000**
Secure Transmission of Orders Total	**0**	**$957,000**	**$48,800**	**$1,005,800**
Disaster Recovery:				
Redundant Servers	35	$325,442	$0	**$325,442**
Back-up Appliance		$404,125	$20,000	**$424,125**
Software licenses (SQL, archiving, etc.)		$343,000	$48,800	**$391,800**
Other disaster recovery items		$73,500	$10,700	**$84,200**
Disaster Recovery Total:	**35**	**$1,146,067**	**$79,500**	**$1,225,567**
CAPS Viewer Enhancements			**$250,000**	**$250,000**
CAPS Viewer Hardware Refresh			**$433,333**	**$433,333**
CAPS Viewer Server Refresh			**$658,614**	**$658,614**
Recurring CAPS Viewer Maintenance			**$1,482,488**	**$1,482,488**
Total Costs	**479**	**$3,547,818**	**$3,198,935**	**$6,746,753**

Solution II: Court Reporting and Court Interpreting. Expanded detail on projected costs for the court reporting and court interpreting systems are provided in the table below. These costs estimates are based on standards developed in the *Technical and Functional Standards for Digital Court Recording* (Appendix N); the Trial Court Budget Commission's *Court Interpreting Technology Workgroup Report and Recommendations* (Appendix O); and the Trial Court Budget Commission's *Recommendations of the Court Reporting Technology Workgroup* (Appendix U).

The costs for court reporting are based on updated circuit requests within the standard costs established in 2008, as noted in Appendix U. The Trial Court Budget Commission approves circuit requests within these standard maximum amounts. For court interpreting, the funding request was estimated based on $13,000 per courtroom and $5,500 per court interpreter office. Along with the technical and functional requirements review, the due process technology workgroup will also review standard costs this year. A breakout of the court reporting expansion and remote interpreting equipment costs by county and circuit can be seen in Appendix V, *Court Reporting and Court Interpreting LBR 2016-17 - Funding Request Amounts by Circuit*.

Requested Required Resources	LBR FY 2016-17			Total Amount Requested
	Quantity	Non-Recurring	Recurring	
Court Reporting Equipment - Expansion:				
Integrated Digital Audio/Video Courtroom	67	$673,590	$0	**$673,590**
Integrated Digital Audio/Video Hearing Room	26	$122,987	$0	**$122,987**
Subtotal	*93*	*$796,577*	*$0*	***$796,577***
Court Reporting Equipment - Hardware Refresh:				

Servers, Digital Audio/Video, Monitoring Workstations, Stenographic Equipment, and Other Digital Court Reporting Related Hardware		$1,568,311	$2,155,357	**$3,723,668**
Recurring Court Reporting Maintenance		$0	$442,097	**$442,097**
Court Reporting - Open Court		$0	$175,000	**$175,000**
Remote Interpreting Equipment:				
Interpreter Workstations	85	$464,750	$0	**$464,750**
Courtroom Audio/Video	121	$1,573,000	$0	**$1,573,000**
Jail Courtroom Audio/Video	25	$325,000	$0	**$325,000**
State-level Call Manager Enhancements		$50,000	$0	**$50,000**
Subtotal	231	$2,412,750	$0	**$2,412,750**
Total Costs	**324**	**$4,777,638**	**$2,772,454**	**$7,550,092**

Solution III: Support for Minimum Level of Technology. Additional information on cost estimates for this solution are discussed below by element.

Core Function Support for Smaller Counties - These funds are requested to ensure support of court technology in counties that have insufficient funds to provide a minimum level of technology services. Based on the detail of the minimum core functions that any court should be able to perform (see Appendix P), there will be a larger investment in the initial year or two to achieve the desired results, with the understanding that there will continue to be recurring cost to maintain the minimum level, plus additional costs for refresh and expansion in subsequent years.

Expanded detail on projected costs for supporting a minimum technology service level are provided in the table below. These cost estimates are based on the results of a gap funding analysis (see Appendix W *Estimated Funding Requirements for Minimum Technology Service Levels Based on Department of Financial Services (DFS) Expenditure Information).* Data from DFS county funded technology expenditures was utilized to identify counties that are providing a minimum service level with current funds. Those counties were then used to apply a methodology that produced a statewide total funding need, in addition to the county funding, to ensure a minimum level of technology would be available in each county around the state.

FTE and Training - Two class specifications (see Appendix X, *Information Resource Management Consultant* and Appendix Y, *Information Systems Analyst*) were used as the basis for estimating costs of staff support associated with this element. These 65.0 FTE staff will support both existing systems and expansion and provide a consistent level of dedicated technology support circuit-wide for court-specific technology systems (i.e. Court Applications Processing Systems, digital court reporting, and remote interpreting) that exist in the trial courts. Training and education costs for existing and new information technology staff were estimated at $1,500 per employee.

Bandwidth - Included in this solution are costs associated with expanded bandwidth, which accompanies information technology requirements. Costs associated with expanded bandwidth are requested for those circuits whose network is becoming saturated due to the addition of CAPS viewers and remote interpreting. Cost estimates were determined by applying the

industry-accepted 80% rule to current usage levels provided by each judicial circuit. Where circuits are currently utilizing over 80% of their available bandwidth, an increase will be needed to accommodate additional digital traffic, including the expansion of remote interpreting. The cost for each data circuit is determined by the provider, DMS/MFN or Telco. See *Additional Bandwidth Costs* (Appendix Z). In addition to funding the trial court's continued efforts to provide information technology infrastructure services and to address the demands of bandwidth consumption of existing enterprise application use, data acceleration, system enhancements and mobile computing, a 10% growth rate is necessary in future years to continue automation of court functions.

These capabilities combined with the investment for additional bandwidth are prerequisites to building an integrated digital platform that incorporates the 21st century information technology tools that have become common and familiar technology media for most Americans. Additional bandwidth will ensure that information flowing across the network has enough capability to be transported in a timely and efficient manner.

Requested Required Resources	LBR FY15-16			Total Amount Requested
	Quantity	Non-Recurring	Recurring	
Core Function Support for Smaller Counties	N/A	$0	$4,150,195	**$4,150,195**
Bandwidth	N/A	$0	$1,260,988	**$1,260,988**
Information Resource Management Consultants	20	$47,600	$2,032,860	**$2,080,460**
Information Systems Analysts	45	$107,100	$3,066,885	**$3,173,985**
Training and Education	N/A	$0	$337,500	**$337,500**
Total Costs	**65**	**$154,700**	**$10,848,428**	**$11,003,128**

D. Capacity Planning

All Solutions. Careful planning is key to the success for a project of this magnitude. To help assist with allocation of resources, including requests for funding, staff of the Office of the State Courts Administrator (OSCA) reviewed the implementation plans for each judicial circuit to ensure local objectives meet state operational and technical obligations. 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 and followed. Competent staff must be hired and trained to implement and maintain all technology that support the statewide court system and OSCA staff will work closely with circuits to ensure that their technical and staff support needs are met.

VII. Schedule IV-B Project Management Planning

The Judicial Branch employs a number of governing bodies to carry out critical initiatives. The key governing bodies 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. Four primary stakeholder groups are instrumental in planning the integration of trial court technology: the Commission on Trial Court Performance and Accountability (TCP&A), the Trial Court Budget Commission (TCBC), the Florida Courts Technology Commission (FCTC), and the chief judges and trial court administrators of Florida's 20 judicial circuits.

At the state level, there have been a significant number of research projects and reports issued by these governing groups to address automation of trial court functions. Planning for technology should align with the *Long-Range Strategic Plan of the Florida Judicial Branch 2009-2015*, in which the Supreme Court adopted several goals and strategies (noted in the table below, in pertinent part) to support the mission and vision of the judicial branch and improve accessibility, fairness, effectiveness, responsiveness, and accountability of the court system.

Goals	Strategies
2.1 - Cases will be processed effectively, efficiently, and in a timely manner.	- Develop the capacity of the State Courts System to timely monitor key caseload and workload information at the circuit, appellate, and statewide levels.
2.2 - The State Courts System will utilize public resources effectively, efficiently, and in an accountable manner.	- Enhance the capacity of the State Courts System to manage court resources and services in a cost-effective and accountable manner. - Continue to develop and institutionalize performance and accountability management systems that implement best practices in resource management.
2.3 - The State Courts System will have an adequate statewide information technology system adequate to support effective and efficient case management and management of caseloads and court resources.	-Develop and implement standards that effectuate the equitable statewide deployment of functionally compatible information technology infrastructure within the judicial branch, or; -Enact policies that coordinate the deployment of compatible information technology infrastructure within the judicial branch. -Institute policies to build a comprehensive uniform statewide case management information system that integrates the case maintenance systems of the clerks of the circuit courts. -Expand and integrate information technology systems statewide that support best practices within the courts, including resources management and performance measurement systems. -Implement uniform statewide State Courts System communication technologies, including electronic filing, electronic access to court records, electronic scheduling, and electronic appearance of attorneys and parties. -Continue to improve data sharing and data integration with justice system partners.
5.1 - The State Courts System will be accountable to the public for its use of public resources and overall performance.	-Monitor and evaluate court performance.

Overall, as evidenced in the reports and policies issued in recent years, it is clear that those on the front line of the trial court system such as judges, court staff, and clerks of court, as well as state-level participants such as the Supreme Court, court committees, and the Legislature, along

with other individuals and groups, agree that the trial courts must make progress toward supporting the automation of court functions.

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 20 judicial circuits regarding this issue over the last several years (as discussed in previous sections). This proposal is being submitted on their behalf and with the knowledge that they have the experience and are responsible and accountable for successfully integrating this technology in their local arenas.

Solution I: Secure Case Management and Processing System. As previously discussed, each judicial circuit selected the electronic CAPS viewer system that would best meet their local needs. To build on the success of these systems, effective project management is critical.

The scope of the project will include a significant business process analysis and development of requirements, in addition to the design, development, testing, and user training. Activity will also include documenting the functional and technical system requirements necessary to support the business processes. Vendors will work with court staff to evaluate solutions that align with the documented requirements. Additionally, the vendor will work with the courts' project management team to help support the development of procurement documents.

The project schedule provides deliverables as well as a visual representation of the work needing to be done. Each circuit should adhere to the schedule as much as possible, although variances may be made to accommodate the specific needs of the circuit. The designated person from each circuit responsible for overseeing the project will align the project schedule with that circuits' requirements.

The project will meet the following objectives:

- Create an integrated, web-based case management system that supports the judiciary using modern technology;
- Automate manual, paper-based processes to increase workflow efficiencies and reduce operational costs;
- Facilitate improved communication within the court system;
- Provide better access to data through searching and reporting capabilities; and
- Complete the project within agreed budget and timeframes.

The project life cycle is to be divided into five key phases; most will overlap:

Initiation – Achieving organizational direction and commitment;

Planning – Determining what will be delivered and when; determining resources needed and how the project team will respond to change;

Execution – Doing the work necessary to create the deliverables;

Controlling – Keeping the project on track; and

Closing – Bringing the project to an orderly conclusion that ensures continued success.

Below is a general list of project steps utilized by court administration to ensure that the project remains on time. Specific timelines for each circuit are developed and maintained locally.

Project Tasks
Hardware Requirements
Hardware Ordered
Hardware Installed and Tested
Data Transferred
Begin Backfile Processing
Identify Go-Live Users and Roles
Identify Case / Document Restrictions
Review Data Issues - Case and Party
Identify Case and Party Data Elements
Configure User Security
Begin Building Test Environment
Analyze Docket Codes and Titles
Final Data Loaded
Configure Group Docket
Verify Production Hardware availability
Complete Case Summary Glances
URL, Financial Glances, eSigning
Focus on Synchronization
Configure eSignature folders
First Look at Production Environment
Confirm Overall Configuration
Testing - address any final issues
Testing, Pilot Training
Pilot Go-Live
Go-Live for Remaining Judges
Training Assistance and Go-Live Support

Several reports and policies have been drafted by the previously referenced governance groups in support of CAPS. The relevant reports are noted below in chronological order:

- In January 2006, the Article V Technology Board issued a report to assist with accomplishing long-range technology goals for the benefit of the court system and the various entities involved with the court system. They recommended several actions supportive to the integration of disparate information systems such as the creation of a: catalog of common data elements; data exchange standards and protocol; infrastructure and network standards and protocol; and security and access standards and protocol.

- In 2008, the Florida Legislature directed the Office of Program Policy Analysis and Government Accountability (OPPAGA) to study judicial case management practices. In its report *09-06, Judicial Case Management Practices Vary Throughout State; Better Case Data Needed*, the OPPAGA found that reliable data is critical to efficiently manage circuit caseloads. Some circuits have court information technology staff that have created or implemented case management software that provides reports for judges. Judges in these circuits and counties report that these systems provide them information needed to manage workload effectively.
- In March 2010, the Court Statistics and Workload Committee (CSWC) of the Commission on Trial Court Performance and Accountability issued a report titled, *Case Management System Design Framework*. This report was developed in response to a charge from the Supreme Court in AOSC08-32 to develop long term plans for technology to support trial court information needs. The report covered: design principles, the use of current data collection systems, security and confidentiality, and the need for other standards for such a system.
- In 2011, the Florida Courts Technology Commission worked with the National Center for State Courts (NCSC) on a proposal for a consultant to review the current funding structure in the courts, as well as funding options for projects on the horizon. The Office of the State Courts Administrator (OSCA) applied for and was awarded a technical assistance grant from the State Justice Institute to hire the NCSC to conduct an analysis of the current state of technology in Florida's Courts and develop a high level implementation and funding strategy to modernize the technology in Florida's courts. The final report and recommendations were outlined in the *Florida's Statewide Case Management System Implementation and Funding Strategies* report.
- In 2012, the Commission on Trial Court Performance and Accountability (TCP&A) and the Court Statistics and Workload Committee (CSWC) issued their report entitled, *Trial Court Integrated Management Solution (TIMS): Identifying Key Case and Workload Data and Establishing Uniform Definitions for Improving Automation of Florida's Trial Courts*. This report was issued in response to charges emanating from AOSC12-25, on the development of a statewide trial court case management system in which to provide case-specific information for use at both local and state levels for effectively managing cases. The report and the recommendations contained therein were the results of over two years of work by TCP&A, the CSWC, the Florida Courts Technology Commission (FCTC), and subject matter workgroups made up of judges, court personnel, and court clerks. As a result, the Trial Court Integrated Management Solution (TIMS) project developed a framework to standardize a statewide, integrated data management solution that would be able to capture and report case and court activity information both at the circuit level and statewide. The report has served as a foundation for several initiatives developed in the trial courts. The Integrated Trial Court Adjudication System (ITCAS) project, which defines a court case management system, was optimized to assist judges and case managers in the electronic processing and maintenance of cases and associated court activity. Its two components are the Court Application Processing Systems (CAPS) and the Judicial Data Management Services (JDMS). The CAPS comprise workstations and software that enable judges to review documents that are filed electronically and to manage their cases electronically. JDMS defines a state level data management strategy that will pull court activity data from

multiple sources and integrate them into a coherent whole. The FCTC and the CSWC are leading the efforts in the development of ITCAS as an electronic case management initiative.

- Following the Supreme Court's acceptance of the TIMS report, in 2013, the Court Statistics and Workload Committee recommended several enhancements to trial court case activity data collection efforts. These recommendations include a Case-Event Definitional Framework that establishes definitions for essential case events such as case filing, disposition, and reopen. This definitional framework was adopted by the Supreme Court in AOSC14-20 In re: Case-Event Definitional Framework.
- In 2013, The Florida Courts Technology Commission (FCTC) adopted the *Functional Requirements Document for Court Application Processing System* (Appendix K) to provide specifications for CAPS viewers to implement the use of information technology and electronic case files, in court and in chambers by trial court judges and staff. In addition to the functional requirements set forth in this document, systems must comply with the current version of the Florida Supreme Court's *Standards for Electronic Access to the Courts* (Appendix L).

Currently, case maintenance standards for the clerks, as well as data exchange standards are being developed to ensure that the appropriate data is available for CAPS viewers and that the system can be easily integrated.

Solution II: Court Reporting and Court Interpreting. The major reports issued by the above referenced governance groups in support of court reporting and court interpreting technology are noted below in chronological order:

- TCP&A Report and Recommendations (on Court Reporting Services) – December 2002. This report explains the usage and service delivery models of court reporting. It further provides recommendations on a purpose statement, performance measures, objectives for statutory and rule revisions, strategy for best business practices and funding for electronic court reporting. The report notes how 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 report a diminishing number of stenographic firms willing to do business with the courts as private attorneys are willing pay higher rates of pay. Unable to compete, courts are experiencing difficulties in hiring and retaining stenographers to ensure that accurate and timely transcripts can be produced for appellate purposes. The recommendations suggest implementation of digital court recording as a means to alleviate these problems.

- TCP&A Report and Recommendations (on Court Interpreting Services) – January 2002. This report outlines service delivery issues on court interpreting services. Recommendations are provided on the mission statement, performance measures, management practices, and statutory and rule revisions.

- **FCTC Technical and Functional Standards for Integrated Audio/Video Court Recording Technology, 2003**. To move forward in the purchase of court reporting

technology, in 2003, technical and functional 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 are required to be compliant with the standards. The standards are updated every three years.

- TCP&A Court Reporting in Florida's Trial Courts Post-Revision 7 – February 2005. This report served as a starting point for development of statewide court reporting best practices and policies. The report outlined recommendations on a purpose statement, the legal necessity of court reporting at public expense, and the delivery and management of court reporting services. 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 N) which was last updated in 2015.
- TCP&A Recommendations for the Provision of Court Reporting Services in Florida's Trial Courts – October 2007. This report addresses the entire court reporting process including revisions to 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.

- **TCBC Report and Recommendations of the Court Reporting Technology Workgroup, 2008**. In determining crucial budget policies for the State Courts System, the TCBC reviewed the above strategies laid out by both the TCP&A and the FCTC as they relate to the provision of court reporting services. In doing so, the TCBC recently approved supporting budgetary policies on the long-term management of court reporting technology. This report includes both refresh timeframes and a long-term plan for continued integration of digital technology. A copy of this report is provided in Appendix T.

- TCP&A Recommendations for the Provision of Court Reporting Services in Florida's Trial Courts – Supplemental Report – November 2009. This report supplements the recommendations originally proposed by the TCP&A in October 2007 to revise two standards of operation pertaining to transcript production and producing copies of recordings. 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 these recommendations of the TCP&A. The opinion may be found here. 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 updated administrative order, AOSC11-22, may be found here.

- TCP&A Recommendations for the Provision of Court Interpreting Services in Florida's Trial Courts – November 2010. This report provides recommendations on standards of operation, best practices, and general recommendations for the provision of court interpreting services. The report recommended that circuits move towards incorporating the appropriate use of remote audio/video interpreting technology in compliance statewide technical requirements and cost standards for remote interpreting technology as developed by the FCTC and the TCBC.

- **TCBC Report and Recommendations of the Court Interpreting Technology Workgroup, 2010**. To support the future implementation of remote interpretation technology, the TCBC directed the establishment of cost model recommendations and refresh timeframes, as noted in this report. A copy of this report is provided in Appendix O.

- **TCBC Technical and Functional Standards of Remote Court Interpretation Technology (Draft as of June 2013)** - In December 2011, the TCBC established a Due Process Technology Workgroup (DPTW) to review the current state of remote technology in consideration of expanding remote interpreting regionally and/or statewide. A pilot project was established in the 7th, 9th, 14th, 15th, and 16th Circuits to study the processes associated with using this technology and sharing interpreting resources across circuits. The Office of the State Courts Administrator (OSCA) is participating in the pilot by housing the call manager. The pilot went live in March 2014 and is going well. The workgroup drafted technical and functional standards for integrating remote interpreting technology into the circuits. Additionally, based on the outcomes of the pilot, business model standards are being developed to address the sharing of interpreter resources across circuits.

Solution III: Support for Minimum Level of Technology. Project management depends on the circuit technology model and size of the circuit. To maintain and support the core technology functions that a trial court should be able to perform, it is necessary to identify the minimum level of technology services that any court should be able to achieve. The top essential technology functions of the trial courts were identified in the *Core Technology Functions* document in Appendix V. These essential functions are required to maintain and support minimum technology levels of the trial courts.

Solutions I and II – CAPS, Court Reporting and Court Interpreting. In developing the technology budget proposal for the Court Application Processing System, court reporting and court interpreting, the Trial Court Budget Commission reviews 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 technology.

The integration of technology is carried out directly by each judicial circuit. Circuits are individually responsible for establishing the local terms of the vendor contracts. During implementation, 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. Validation of 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 system interacts with each other one as designed, and performs in compliance with the system specifications and design. 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 is conducted to validate maximum number of integrated rooms and number of users, and concurrent user requests which a system can tolerate and handle appropriately. This level of testing includes:

    - 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 server and database under overload and abnormal conditions, when the system is required to handle resource demands in excessive quantity, frequency or volume.
    - 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 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. 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 and will include all elements of the system testing, such as functional and operational testing including business case scenarios. 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 vendor 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 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 system development until the system is accepted by the Court.

8. 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.

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Appendix A – Trial Court Technology Strategic Plan: 2015-2019

Florida Trial Court Technology Strategic Plan: 2015 - 2019

Adopted by the Florida Supreme Court

January 2015

Trial Court Budget Commission
Trial Court Technology Funding Strategies Workgroup Members

The Honorable Robert Roundtree, Jr., Chief Judge, Eighth Judicial Circuit, *Chair*
Mr. Mike Bridenback, Trial Court Administrator, Thirteenth Judicial Circuit
Mr. Thomas Genung, Trial Court Administrator, Nineteenth Judicial Circuit
The Honorable Robert Hilliard, County Judge, Santa Rosa County
Mr. Craig McLean, Trial Court Technology Officer, Twentieth Judicial Circuit
The Honorable Lisa T. Munyon, Circuit Judge, Ninth Judicial Circuit
The Honorable George Reynolds, Circuit Judge, Second Judicial Circuit
Mr. Walt Smith, Trial Court Administrator, Twelfth Judicial Circuit
Ms. Robin Wright, Trial Court Administrator, First Judicial Circuit

Trial Court Administrators (TCA) and Trial Court Technology Officers (CTO) Facilitated by the National Center for State Courts (NCSC), August 2014

Thomas Clarke, Facilitator, NCSC
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Note: This strategic plan was developed based on documentation originating from a workshop held August 12-13, 2014, for the trial court administrators and trial court technology officers. The workshop was facilitated by representatives of the National Center for State Courts (NCSC), who have experience developing strategic plans using a formal enterprise-based process of identifying business and technical capabilities for the courts. The NCSC assimilated the discussion notes and provided a draft report to the Office of the State Courts Administrator; whereupon the Trial Court Budget Commission's Trial Court Technology Funding Strategies Workgroup further refined and packaged the strategic plan at its November 13, 2014, meeting.

Executive Summary

The Florida Constitution vests with the court the duty of adjudicating disputes as well as directing the business and administrative functions of the court. In order to carry out this constitutional mandate, the courts increasingly rely on technology and are constantly evaluating new ways that technology can best be utilized in the judicial branch. The State Courts System (SCS) recognizes that technology and electronic filing have created a paradigm shift – requiring the judicial branch to function differently than in the past. It is imperative to establish long-range technology objectives for the SCS that align with its mission so that management and control of internal operations are coherent and clear to the citizens it serves.

The *Florida Trial Court Technology Strategic Plan: 2015 - 2019* (Plan) establishes the objectives with the purpose of developing a business enterprise approach to addressing the technology needs of the SCS. The Plan: 1) provides a comprehensive view of technology; 2) acknowledges that technology has and will continue to redefine how the courts use information to make decisions; 3) considers technology needs of the trial courts now and in the future; 4) creates a flexible system that can evolve with technology and the public's needs; 5) proposes a stable and adequate funding structure; and 6) allows the courts to be more self-sufficient.

The Plan identifies the necessary business and corresponding technical capabilities the trial courts must possess in order to function effectively. To arrive at these capabilities, the Plan adopts the court's constitutional responsibility as its business mission – the "business" of the court is the prompt and fair adjudication of disputes. The following business capabilities were identified as most critical:

Primary Business Capability

Provide a more consistent statewide level of court services by establishing and funding a minimum level of technology to support all elements of the State Courts System enumerated in section 29.004, Florida Statutes.

Supporting Business Capabilities

Implement best practices for funding by incorporating full life cycle costs of all trial court technology which ensures long-range functionality and return on investment.

Sustain the systems and applications in the trial courts by a) ensuring courts have appropriate staffing levels available to support technology demands; and b) improving training and education for staff.

To effectuate the business capabilities identified, the State Courts System must secure adequate and reliable state funding in addition to existing county funding to implement and sustain the technology projects that support these capabilities. The SCS intends to develop, for consideration by the Florida Legislature, a comprehensive funding structure with corresponding revenue proposals that will continually support, maintain, and refresh the SCS technology elements necessary to ensure that trial courts statewide are able to meet the needs of judges, court staff, and the public they serve.

Background

Currently, the trial courts are undergoing a substantial technology transformation. Just as technology has transformed the ways businesses operate and serve customers, it is also transforming the ways the judicial branch functions and meets the needs of its customers – the individuals and businesses who rely upon the courts for the administration of justice and the provision of due process. Citizens, who are accustomed to interacting with businesses in real time via the Internet, expect technology-enhanced performance. Likewise, they increasingly expect their court system to employ technology to facilitate the effective, efficient, and fair disposition of cases.

Over the last five years, the legal system has moved from a paper-based system toward an electronic system. Attorneys are filing cases electronically; judges are beginning to work with electronic case files; and clerks are running their business processes using automation and electronic forms and documents. More services are being provided internally to court system partners and externally to court customers and litigants using online media. Today, technology is no longer a "luxury" or "add-on" to existing resources; it is inherent and inextricably connected to the daily operations of the judiciary.

Florida continues to evolve as a unified and uniform court system with the governance and funding structures in place to support efficient and effective access to justice. The Florida State Courts System (SCS) has made significant strides in developing and implementing technology solutions. However, challenges exist in implementing technology with varied and disparate funding sources and governance mechanisms. The *Florida Trial Court Technology Strategic Plan: 2015 - 2019* (Plan) supports a cohesive process to enhance the ability of the trial courts to provide a more consistent level of services through funding an adequate and reliable minimum level of technology.

As the SCS establishes and implements this Plan, it will be necessary to work with integral external court system partners, such as the clerks of court, to ensure that the clerks' technology framework supports the SCS constitutional mandate and initiatives. Proper coordination of technical capabilities is critical for successful technology development and maintenance. This Plan is based on the courts' responsibility for managing its cases, but it also recognizes the necessity of clerks to maintain the integrity and accuracy of court records in their support of the judiciary as established by statutes, court rules, and administrative orders. This Plan contemplates that the trial courts' technology goals and initiatives will be closely coordinated with the technology needs and initiatives of the clerks of court, so that the court records provided to judges and court staff are accurate, complete, secure, and timely.

The courts sit at the center of activity in the judicial system, with data flowing in and out as cases move through the adjudication process from filing to disposition. Electronic filing set the course for technology in the judicial branch. Then, the development of a statewide court management information system known as the Court Application Processing System, or "CAPS," was the beginning of the infrastructure needed to effectively manage court business processes. This Plan continues the development of CAPS to provide consistent access to and availability of data across counties and circuits to provide more complete information to judges from different data sources, which improves efficiency in judicial decision-making. These enhancements give the

SCS monitoring tools and allow the courts to tailor performance measures to improve case management and adjudication of cases. Additionally, this Plan recognizes the need for infrastructure to support the statewide flow of information and technology. It provides tools to perform more accurate and reliable court reporting and court interpreting, and staff to support all statewide, court-specific technology systems. Furthermore, it recognizes the necessity for the clerks to provide complete, accurate, secure, real-time access to court data to ensure continuity of operations and information security.

Business Goal

The guidepost for this technology strategic plan is the primary mission or "business" of the courts – protecting rights and liberties, upholding and interpreting the law, and providing for the peaceful resolution of disputes. Because the courts' constitutional responsibility is to adjudicate cases, this Plan focuses on the authority of the court to promote the prompt and efficient administration of justice and the technological tools needed to effectively manage cases and court resources. The purpose of the Plan is to ensure that technology fully supports the courts' primary mission and facilitates the ability of the local courts to act together as an enterprise when appropriate.

Process

To avoid the common pitfalls of strategic planning within loosely-coupled organizations such as the SCS, the Office of the State Courts Administrator (OSCA) organized a two-day meeting (Workshop) of the trial court administrators and court technology officers from all 20 judicial circuits in August 2014. With facilitation support from the National Center for State Courts (NCSC), the group identified the guiding principles, identified and prioritized business capabilities, and determined required technical capabilities. Subsequently, the TCBC's Trial Court Technology Funding Strategies Workgroup (Workgroup) refined the business capabilities and aligned the required technical capabilities to the current tactical and funding plans. This led to identifying and prioritizing necessary business capabilities and corresponding real-world technology solutions.

During the Workshop, several key concepts emerged:

- Efforts exist at all levels of the courts to act more like an integrated system when planning and implementing new technology; however, more needs to be done to perform like an enterprise. In order for judges to adjudicate cases, they must have access to accurate, timely, secure, and complete information. In order for the current information to be most useful, there is a pressing need for real technical standards (data and interfaces) to complement the functional standards the courts have already developed as part of the Integrated Trial Court Adjudicatory System (ITCAS) and Court Application Processing System (CAPS) projects. The data exchange workgroup, which includes clerks of court staff, is currently working on developing specifications for data exchanges, starting with the CAPS viewer.

- Courts provide a wide variety of services to the public and other court stakeholders, but the type and level of services provided are inconsistent across local jurisdictions. The public would benefit from a minimal level of services that is consistently provided statewide and consistently identified using the same terminology.

- New technology generates new expectations. As courts become more electronic and online, the public and other court stakeholders expect access "24/7,"but the courts do not currently have the resources necessary to provide that level of service and support.

- Due to local funding and management, the courts' ability to present a consistent level of information and services statewide to citizens is hindered. While websites and online services are improving, the SCS still needs to work on presenting a more consistent interface to the public for ease of access to and use of its services.

In addition to the concepts identified by Workshop participants, several business challenges were identified. While not unique to Florida, the following challenges are significant barriers to success:

- There are a number of governing bodies, both internal and external, that are responsible for various aspects of trial court technology.

- Funding resources do not match expected levels of service.

- Levels of service provided are not consistent across the state, even at a minimum level.

- Access to court information is not standardized, complete, or timely.

- Training in technology is needed for staff.

To address key concepts and challenges identified by the Workshop participants, guiding principles were established to mitigate or overcome these challenges. Participants decided the following principles would clarify court priorities and provide a rationale for selection:

1. There should be clear court authority over trial court technology.
2. Resource planning should be prioritized based on business needs.
3. Funding levels should match defined and required levels of service.
4. There should be a consistent minimum level of court services provided across the state. Because resources of local courts will always vary to some extent, this fourth principle is intended to support a consistent *minimally acceptable* level of services statewide. It is intended to establish a floor for available services – not a ceiling or a rigid level.
5. Access to court information should be standardized, complete, and near real-time.
6. Staff supporting court technology should be competent and well-trained.

Business Capabilities for Technology

This Plan does not attempt to identify all required or desired business capabilities. The intent is to identify and prioritize the most needed capabilities. This Plan focuses on one primary business capability and two supporting business capabilities that were recognized by the Workshop participants and selected as most critical by the Workgroup members. It is reasonable that a successful campaign can be mobilized over multiple years to support all three. They are as follows:

Primary Business Capability

Provide a more consistent statewide level of court services by establishing and funding a minimum level of technology to support all elements of the State Courts System enumerated in section 29.004, Florida Statutes.

Supporting Business Capabilities

Implement best practices for funding by incorporating full life cycle costs of all trial court technology which ensures long-range functionality and return on investment.

Sustain the systems and applications in the trial courts by a) ensuring courts have appropriate staffing levels available to support technology demands; and b) improving training and education for staff.

Alignment of Business Capabilities with Technical Capabilities and Success Measures

This section identifies, for each business capability, the technical capabilities required for implementation. One or more success measures are specified for each desired business capability since it is important to know, in business terms, what constitutes successful implementation.

Primary Business Capability – Technical capabilities addressing consistent level of court services.

Discussion: The scope encompasses all systems and applications in the trial courts including the Court Application Processing System, remote interpreting and expert witness systems, and systems that allow the courts to accurately make the official court record. This capability requires the establishment of statewide standardization of minimum levels of required core court technology services.

- Identify common services.
- Determine the core minimum service levels required.
- Develop minimum standards for technical support of common services and service levels.
- Estimate adequate enterprise funding needs for required services and service levels:
    - Based on state and county funding,
    - Based on funding requirements for circuit-wide functions that cross county boundaries.
- Continue development of the statewide Court Application Processing System that provides consistent access to and availability of information across counties and circuits.
- Identify and develop specifications for standard data exchanges – both internal and external.
    - Standardize data definitions and data entry rules for key court information.
    - Establish internal user support groups for existing systems and applications.
- Identify and provide a consistent statewide level (or several defined levels) of services for remote interpreting and remote expert witnesses (functional requirements, availability of

qualified staff, network bandwidth, internal court wiring, etc.), which allows for pooling of limited resources for certified interpreter and expert witnesses. This will provide a more cost effective and consistent level of services across the state.

- Install replacements and provide adequate continuing maintenance for standards-based videoconferencing equipment to support use of remote interpretation and remote expert witnesses as needed.
- Identify and provide a consistent statewide level of services for digital audio/video recording, to include the expansion of digital court reporting equipment in necessary courtrooms and hearing rooms not already outfitted with the technology.
- Install replacements and provide adequate continuing maintenance for standards-based digital court reporting equipment, to ensure consistent capturing of the official record across all circuits.
- Provide contract consultants through OSCA as a last resort for small circuits/counties with minimal required services and inadequate funding and technology resources.

Success Measures:

- Citizens have access to a consistent level of minimum court services, regardless of geography.
- The official court record is made in an accurate and reliable manner statewide.
- Court interpreter and expert witness requests are met in a timely manner with certified or qualified staff, increasing efficiency and effevtiveness and may also result in cost savings.
- Judges receive complete, accurate, secure, and real-time information from various data sources resulting in efficiency gains in judicial decision-making.
- Reliance on paper files and manual file movement is reduced.

Supporting Business Capability – Technical capabilities addressing life cycle funding.

Discussion: This best practice identifies complete life cycle costs for all proposed projects and includes cost/benefit analyses. The scope includes proactive analysis of information technology resource needs and planning to avoid operating in a reactive mode. Development of funding proposals should be conducted using an enterprise approach, with adequate oversight over technology and accountability of financial resources.

- Identify and support the ongoing development and implementation of an enterprise view of technology for the judicial branch.
- Plan strategically for deployment of technology, utilizing limited resources.
- Implement a circuit-level funding structure that includes a dedicated, statewide trust fund for trial court technology, managed by the Trial Court Budget Commission.

Success Measures:

- Technology needs are evaluated to include full life cycle costs.
- Resources are managed in a proactive manner.
- Technology is acquired and deployed in a strategic manner statewide; systems are refreshed prior to reaching obsolescence.

Supporting Business Capability – Technical capabilities addressing staffing and training.

Discussion: Current levels of technology staff support vary across circuits and counties. There are competing priorities for limited shared resources paid for by the county. Additionally, multi-county circuits have difficulties in sharing resources across county lines or providing the same services within the circuit due to variations in county support of staff. A lot of the new technology initiatives are court specific and need dedicated, well-trained staff to support.

- Provide a minimum level of information technology staff in all 20 judicial circuits to ensure circuit-level dedicated resources to support all statewide, court-specific technology systems.
- Acquire additional commercial automated/online training resources for judicial officers and staff to ensure that technology is equally utilized and fully supported statewide.
- Acquire additional or improved training modules for vendor-provided court applications.
- Establish an enterprise usability lab for court applications and websites.
- Create a comprehensive set of online functional training modules for court staff.
- Identify technical training shortfalls for information technology staff as technology needs evolve.

Success Measures:

- Judges and court staff receive timely assistance from knowledgeable technical support staff.
- Court staff receive education and training to maintain contemporary knowledge of technical systems and applications, resulting in overall process improvement.
- Court staff retention is improved, resulting in human resource-related cost savings.

Alignment of Capabilities and Projects

The desired business and technical capabilities in this Plan build on current capabilities and planned projects. Some key examples are listed below:

- Some courts have implemented due process capabilities (remote interpreters, digital audio/video recording) over the last several years. The need is to complete the rollouts statewide and provide life cycle funding for maintenance and replacement.
- The Judicial Inquiry System (JIS) provides statewide information to courts on criminal cases. There is a need for equivalent information in civil and family cases. The Integrated Trial Court Adjudicatory System (ITCAS) project will provide similar capabilities.
- The Court Application Processing System (CAPS) project is a computer application system designed for in-court and in-chambers use by trial court judges and court staff which facilitates work on cases from any location and across many devices and data sources. It provides judges with rapid and reliable access to case information; provides access to and use of case files and other data in the course of managing cases, scheduling

and conducting hearings, adjudicating disputes, and recording and reporting judicial activity; and allows judges to prepare, electronically sign, file, and serve orders. CAPS is vital to the adjudicatory function of Florida's trial court judges and has the potential to serve as the framework for a fully-automated trial court case management system. While the project is already underway, the need is to complete a statewide rollout, establish data and interface standards for improved interoperability, and improve data access from clerks and other court stakeholders.

- The trial courts are responsible for the timely management of their cases. This will become easier with digital-based court information, whereas it was extremely difficult in the paper-based systems. This will help the court move its cases in an efficient and effective manner.
- The courts have benefited from several recent funding opportunities to expand their investment in court technology; however, problems are now arising because the new technology capabilities did not come with life cycle funding to maintain and replace aging equipment.

Conclusion

Members of the public view the court system as a single enterprise; they do not concern themselves with the details of court organization. When courts fail to function like a single enterprise, it inhibits the public's access. Inconsistent services and service interfaces, whether in person at the courthouse or on-line, also impede access. One of the great strengths of the Florida courts is their ability to innovate and experiment at the local level. The goal of this Plan is to achieve a balance of local flexibility, operational efficiency, and public accessibility to provide a consistent statewide level of services to court customers.

The Plan makes no attempt to redesign the way technology is funded at the local level, only to ensure a minimum level of trial court technology services statewide. To effectuate the business capabilities identified in this Plan, it is necessary for the State Courts System to secure adequate and reliable state funding to implement and sustain the technology projects that support these capabilities. During the 2015 legislative session, the SCS will present a proposed comprehensive funding structure with corresponding revenue streams to continually support, maintain, and refresh the technology that is critical to ensuring the trial courts statewide are able to meet the needs of judges, court staff, and the public they serve.

To fully realize the benefits, the courts must follow the guiding principles presented in this Plan to establish a necessary level of court services statewide, present a more consistent face to the public, and work with court partners in aligning technology efforts.

Appendix B – Cost Benefit Analysis for Solution I

CBAForm 1 - Net Tangible Benefits

Agency: State Courts System | Project: Court Comprehensive Technolog

Court Application Processing System

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 (Operations Only -- No Project Costs)	FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21		
	(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)	$295,010,498	$0	$295,010,498	$295,010,498	$0	$295,010,498	$295,010,498	$0	$295,010,498	$295,010,498	$0	$295,010,498	$295,010,498	$0	$295,010,498
A.b Total FTE	2,573.25	0.00	2,573.25	2,573.25	0.00	2,573.25	2,573.25	0.00	2,573.25	2,573.25	0.00	2,573.25	2,573.25	0.00	2,573.25
A-1.a. State FTEs (Salaries & Benefits)	$294,757,825	$0	$294,757,825	$294,757,825	$0	$294,757,825	$294,757,825	$0	$294,757,825	$294,757,825	$0	$294,757,825	$294,757,825	$0	$294,757,825
A-1.b. State FTEs (# FTEs)	2540.25	0.00	2540.25	2540.25	0.00	2540.25	2540.25	0.00	2540.25	2540.25	0.00	2540.25	2540.25	0.00	2540.25
A-2.a. OPS FTEs (Salaries)	$252,673	$0	$252,673	$252,673	$0	$252,673	$252,673	$0	$252,673	$252,673	$0	$252,673	$252,673	$0	$252,673
A-2.b. OPS FTEs (# FTEs)	33.00	0.00	33.00	33.00	0.00	33.00	33.00	0.00	33.00	33.00	0.00	33.00	33.00	0.00	33.00
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	$1,667,647	$0	$1,667,647	$1,667,647	$0	$1,667,647	$1,667,647	$0	$1,667,647	$1,667,647	$0	$1,667,647
B-1. Hardware		$0	$0	$1,341,947	$0	$1,341,947	$1,341,947	$0	$1,341,947	$1,341,947	$0	$1,341,947	$1,341,947	$0	$1,341,947
B-2. Software		$0	$0	$80,000	$0	$80,000	$80,000	$0	$80,000	$80,000	$0	$80,000	$80,000	$0	$80,000
B-3. Other Programming/Secure		$0	$0	$245,700	$0	$245,700	$245,700	$0	$245,700	$245,700	$0	$245,700	$245,700	$0	$245,700
C. External Service Provider -- Costs	$0	$0	$0	$1,531,288	$0	$1,531,288	$1,531,288	$0	$1,531,288	$1,531,288	$0	$1,531,288	$1,531,288	$0	$1,531,288
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	$1,531,288	$0	$1,531,288	$1,531,288	$0	$1,531,288	$1,531,288	$0	$1,531,288	$1,531,288	$0	$1,531,288
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	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712
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 Operating Costs	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712	$6,381,712	$0	$6,381,712
Total of Operational Costs (Rows A through E)	$301,392,210	$0	$301,392,210	$304,591,145	$0	$304,591,145	$304,591,145	$0	$304,591,145	$304,591,145	$0	$304,591,145	$304,591,145	$0	$304,591,145
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:		$0			$0			$0			$0			$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	95%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	State Courts System	Trial Court Comprehensive Technology Plan			CBAForm 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.*				FY2016-17			FY2017-18			FY2018-19			FY2019-20			FY2020-21			TOTAL
3				$ 9,793,527		$ 6,746,753			$ -			$ -			$ -			$ -		$ 16,540,280
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	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	**OPS**	OPS	$ -			$ -	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	$ -	$ -	$ -
8	Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -		$ -	$ -	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	$ -	$ -	$ -
10	Staffing costs for all professional services not included in other categories.		Other Data Processing Services			$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
11	Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
12	CAPS Viewers Hardware including servers, workstations and monitors.	**Hardware**	Other Data Processing Services	$ 2,132,170		$ 1,585,194	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 3,717,364
13	CAPS Viewers Software including licence fees	**Software Licenses**	Other Data Processing Services	$ 2,912,219		$ 113,750	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 3,025,969
14	CAPS Vieweres Programming and Enhancement	**Programming**	Other Data Processing Services	$ 4,291,138		$ 1,333,954	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 5,625,092
15	All first-time training costs associated with the project.	**Training**	Contracted Services	$ -			$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
16	Secure Transmission and Disaster Recovery including programming license fees and implementation services	**Secure Transmission and Disaster Recovery**	Data Center Category			$ 2,231,367	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 2,231,367
17	Annual Maintenance on CAPS Viewers	**Maintenance**	Other Data Processing Services	$ -		$ 1,482,488	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 1,482,488
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	**Equipment**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
19	Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
20	Electronic Storage	**Electronic Storage**	Other Data Processing Services	$ 458,000		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 458,000
21		**Total**		**$ 9,793,527**	**0.00**	**$ 6,746,753**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**$ 16,540,280**

CBAForm 2 - Project Cost Analysis

Agency: State Courts System

Project: ial Court Comprehensive Technology Pl

PROJECT COST SUMMARY	*PROJECT COST SUMMARY (from CBAForm 2A)*					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
TOTAL PROJECT COSTS (*)	$6,746,753	$0	$0	$0	$0	$16,540,280
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$16,540,280	$16,540,280	$16,540,280	$16,540,280	$16,540,280	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	*PROJECT FUNDING SOURCES - CBAForm 2B*					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
General Revenue	$6,746,753	$0	$0	$0	$0	$6,746,753
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$6,746,753	$0	$0	$0	$0	$6,746,753
CUMULATIVE INVESTMENT	$6,746,753	$6,746,753	$6,746,753	$6,746,753	$6,746,753	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	95%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

Agency: State Courts System Project: ırt Comprehensive Technol

COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	TOTAL FOR ALL YEARS
Project Cost	$6,746,753	$0	$0	$0	$0	$16,540,280
Net Tangible Benefits	$0	$0	$0	$0	$0	$0
Return on Investment	($16,540,280)	$0	$0	$0	$0	($16,540,280)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	($16,225,505)	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.

Investment Interest Earning Yield -- CBAForm 3C	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Fiscal Year					
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix C – Cost Benefit Analysis for Solution II

CBAForm 1 - Net Tangible Benefits

Agency: State Courts System | Project: urt Comprehensive Technolc

Court Reporting and Interpreting

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 *(Operations Only -- No Project Costs)*	FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	$37,809,702	$0	$37,809,702	$37,809,702	$0	$37,809,702	$37,809,702	$0	$37,809,702	$37,809,702	$0	$37,809,702	$37,809,702	$0	$37,809,702
A.b Total FTE	457.25	0.00	457.25	457.25	0.00	457.25	457.25	0.00	457.25	457.25	0.00	457.25	457.25	0.00	457.25
A-1.a. State FTEs (Salaries & Benefits)	$27,013,630	$0	$27,013,630	$27,013,630	$0	$27,013,630	$27,013,630	$0	$27,013,630	$27,013,630	$0	$27,013,630	$27,013,630	$0	$27,013,630
A-1.b. State FTEs (# FTEs)	456.25	0.00	456.25	456.25	0.00	456.25	456.25	0.00	456.25	456.25	0.00	456.25	456.25	0.00	456.25
A-2.a. OPS FTEs (Salaries)	$44,031	$0	$44,031	$44,031	$0	$44,031	$44,031	$0	$44,031	$44,031	$0	$44,031	$44,031	$0	$44,031
A-2.b. OPS FTEs (# FTEs)	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00
A-3.a. Staff Augmentation (Contract Cost)	$10,752,041	$0	$10,752,041	$10,752,041	$0	$10,752,041	$10,752,041	$0	$10,752,041	$10,752,041	$0	$10,752,041	$10,752,041	$0	$10,752,041
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	$0	$0	$0	$2,330,357	$0	$2,330,357	$2,330,357	$0	$2,330,357	$2,330,357	$0	$2,330,357	$2,330,357	$0	$2,330,357
B-1. Hardware		$0	$0	$2,155,357	$0	$2,155,357	$2,155,357	$0	$2,155,357	$2,155,357	$0	$2,155,357	$2,155,357	$0	$2,155,357
B-2. Software		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-3. Other Programming/Secure		$0	$0	$175,000	$0	$175,000	$175,000	$0	$175,000	$175,000	$0	$175,000	$175,000	$0	$175,000
C. External Service Provider -- Costs	$0	$0	$0	$442,097	$0	$442,097	$442,097	$0	$442,097	$442,097	$0	$442,097	$442,097	$0	$442,097
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	$442,097	$0	$442,097	$442,097	$0	$442,097	$442,097	$0	$442,097	$442,097	$0	$442,097
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	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003
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 Operating Costs	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003	$1,118,003	$0	$1,118,003
Total of Operational Costs (Rows A through E)	$38,927,705	$0	$38,927,705	$41,700,159	$0	$41,700,159	$41,700,159	$0	$41,700,159	$41,700,159	$0	$41,700,159	$41,700,159	$0	$41,700,159
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:		$0			$0			$0			$0			$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	95%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	State Courts System	Trial Court Comprehensive Technology Plan			CBAForm 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.*				FY2016-17			FY2017-18			FY2018-19			FY2019-20			FY2020-21			TOTAL
3				$ 951,428		$ 7,550,092			$ -			$ -			$ -			$ -		$ 8,501,520
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	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	**OPS**	OPS	$ -			$ -	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	$ -	$ -	$ -
8	Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -		$ -	$ -	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	$ -	$ -	$ -
10	Open Court Programming and Enhancements	**Programming**	Other Data Processing Services	$ 770,000		$ 175,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 945,000
11	Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
12	Servers, transcription and monitoring workstations, interpreting monitoring workstations, courtroom audio/video equipment.	**Hardware**	Other Data Processing Services	$ 181,428		$ 6,932,995	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 7,114,423
13	Commercial software purchases and licensing costs.	**Software Licenses**	Other Data Processing 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 state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
17	Annual Maintenance on equipment	**Maintenence**	Contracted Services	$ -		$ 442,097	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 442,097
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for 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.	**Electronic Storage**	Other Data Processing Services			$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
21		**Total**		$ 951,428	0.00	$ 7,550,092	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 8,501,520

CBAForm 2 - Project Cost Analysis

Agency State Courts System

Project ial Court Comprehensive Technology Pl

PROJECT COST SUMMARY	*PROJECT COST SUMMARY (from CBAForm 2A)*					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
TOTAL PROJECT COSTS (*)	$7,550,092	$0	$0	$0	$0	$8,501,520
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$8,501,520	$8,501,520	$8,501,520	$8,501,520	$8,501,520	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	*PROJECT FUNDING SOURCES - CBAForm 2B*					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
General Revenue	$7,550,092	$0	$0	$0	$0	$7,550,092
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$7,550,092	$0	$0	$0	$0	$7,550,092
CUMULATIVE INVESTMENT	$7,550,092	$7,550,092	$7,550,092	$7,550,092	$7,550,092	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	95%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

Agency: State Courts System Project: ırt Comprehensive Technol

COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	TOTAL FOR ALL YEARS
Project Cost	$7,550,092	$0	$0	$0	$0	$8,501,520
Net Tangible Benefits	$0	$0	$0	$0	$0	$0
Return on Investment	($8,501,520)	$0	$0	$0	$0	($8,501,520)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	($8,339,729)	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.

Investment Interest Earning Yield -- CBAForm 3C	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Fiscal Year					
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix D – Cost Benefit Analysis for Solution III

CBAForm 1 - Net Tangible Benefits

Agency: State Courts System Project: urt Comprehensive Technolc

Support for Minimum Level of Technology

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 *(Operations Only -- No Project Costs)*	FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	$2,330,706	$0	$2,330,706	$7,430,451	$0	$7,430,451	$7,430,451	$0	$7,430,451	$7,430,451	$0	$7,430,451	$7,430,451	$0	$7,430,451
A.b Total FTE	20.00	0.00	20.00	20.00	0.00	20.00	20.00	0.00	20.00	20.00	0.00	20.00	20.00	0.00	20.00
A-1.a. State FTEs (Salaries & Benefits)	$2,330,706	$0	$2,330,706	$7,430,451	$0	$7,430,451	$7,430,451	$0	$7,430,451	$7,430,451	$0	$7,430,451	$7,430,451	$0	$7,430,451
A-1.b. State FTEs (# FTEs)	20.00	0.00	20.00	20.00	0.00	20.00	20.00	0.00	20.00	20.00	0.00	20.00	20.00	0.00	20.00
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	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	$369,202	$0	$369,202	$1,630,190	$0	$1,630,190	$1,630,190	$0	$1,630,190	$1,630,190	$0	$1,630,190	$1,630,190	$0	$1,630,190
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	$369,202	$0	$369,202	$1,630,190	$0	$1,630,190	$1,630,190	$0	$1,630,190	$1,630,190	$0	$1,630,190	$1,630,190	$0	$1,630,190
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	$0	$0	$0	$4,487,695	$0	$4,487,695	$4,487,695	$0	$4,487,695	$4,487,695	$0	$4,487,695	$4,487,695	$0	$4,487,695
E-1. Training	$0	$0	$0	$337,500	$0	$337,500	$337,500	$0	$337,500	$337,500	$0	$337,500	$337,500	$0	$337,500
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other Minimum Service Levels	$0	$0	$0	$4,150,195	$0	$4,150,195	$4,150,195	$0	$4,150,195	$4,150,195	$0	$4,150,195	$4,150,195	$0	$4,150,195
Total of Operational Costs (Rows A through E)	$2,699,908	$0	$2,699,908	$13,548,336	$0	$13,548,336	$13,548,336	$0	$13,548,336	$13,548,336	$0	$13,548,336	$13,548,336	$0	$13,548,336
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:		$0			$0			$0			$0			$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	95%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	State Courts System	Trial Court Comprehensive Technology Plan			CBAForm 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.*				FY2016-17			FY2017-18			FY2018-19			FY2019-20			FY2020-21			TOTAL
3				$ -		$ 11,003,128			$ -			$ -			$ -			$ -		$ 11,003,128
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	$ -	65.00	$ 5,254,445	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ 5,254,445**
6	Costs for all OPS employees working on the project.	**OPS**	OPS	$ -			$ -	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	$ -	$ -	**$ -**
8	Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -		$ -	$ -	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	$ -	$ -	**$ -**
10	Staffing costs for all professional services not included in other categories.	**Consultants/Contractors**	Contracted Services	$ -		$ -	$ -	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**	OCO	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
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)	**Minimum Service Levels**	ODPS	$ -		$ 4,150,195	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 4,150,195**
15	All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ 337,500	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 337,500**
16	Include the quote received from the state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
17	Other contracted services not included in other categories.	**Maintenance**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for 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.	**Bandwidth**	Expense			$ 1,260,988	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 1,260,988**
21		**Total**		**$ -**	**65.00**	**$ 11,003,128**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**$ 11,003,128**

CBAForm 2 - Project Cost Analysis

Agency: State Courts System

Project: ial Court Comprehensive Technology Pl

PROJECT COST SUMMARY	*PROJECT COST SUMMARY (from CBAForm 2A)*					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
TOTAL PROJECT COSTS (*)	$11,003,128	$0	$0	$0	$0	$11,003,128
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$11,003,128	$11,003,128	$11,003,128	$11,003,128	$11,003,128	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	*PROJECT FUNDING SOURCES - CBAForm 2B*					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
General Revenue	$11,003,128	$0	$0	$0	$0	$11,003,128
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$11,003,128	$0	$0	$0	$0	$11,003,128
CUMULATIVE INVESTMENT	$11,003,128	$11,003,128	$11,003,128	$11,003,128	$11,003,128	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	95%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

Agency: State Courts System Project: ırt Comprehensive Technol

COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	TOTAL FOR ALL YEARS
Project Cost	$11,003,128	$0	$0	$0	$0	$11,003,128
Net Tangible Benefits	$0	$0	$0	$0	$0	$0
Return on Investment	($11,003,128)	$0	$0	$0	$0	($11,003,128)
Year to Year Change in Program Staffing	0	0	0	0	0	

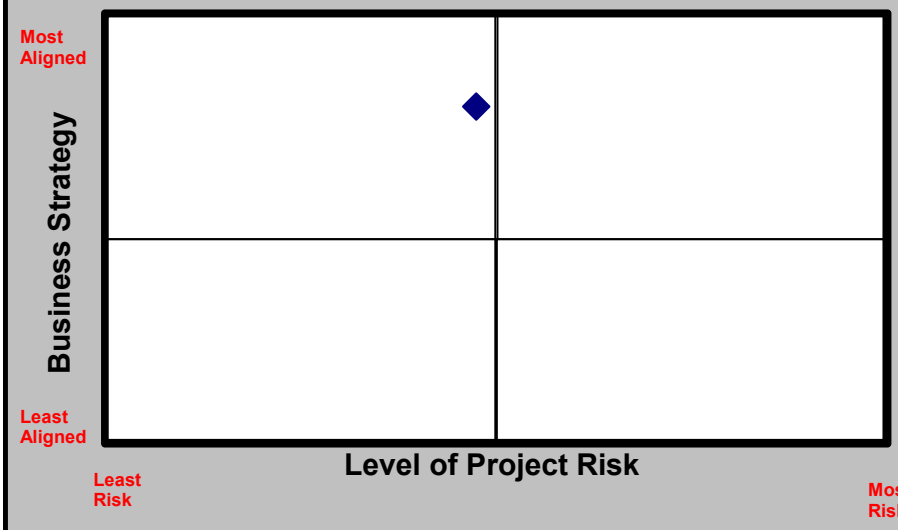
RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	($10,793,730)	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.

Investment Interest Earning Yield -- CBAForm 3C	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Fiscal Year					
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix E – Information Technology Risk Assessment Tool

Project	Trial Court Technology Comprehensive Plan	
Agency	State Courts System	
FY 2016-17 LBR Issue Code:	FY 2016-17 LBR Issue Title:	
36250C0	Trial Court Technology Comprehensive Plan	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Kristine Slayden, 922-5106, SlaydenK@flcourts.org		
Executive Sponsor	The Florida Supreme Court	
Project Manager	Kristine Slayden	
Prepared By	Lindsay Hafford	9/1/2015

Risk Assessment Summary



Project Risk Area Breakdown

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

Agency: State Courts System Project: Trial Court Technology Comprehensive Plan

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	No changes needed
		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	Moderate 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	Between 3 and 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: State Courts System Project: Trial Court Technology Comprehensive Plan

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	Internal resources have sufficient knowledge 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	Some 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	Moderate 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 Project: Trial Court Technology Comprehensive Plan

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	Moderate changes to organization structure, staff or business processes
		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	Yes
		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 defiined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defiined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	1% to 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	Less than 1% 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 similar 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	All or nearly all messages have 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 Project: Trial Court Technology Comprehensive Plan

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few 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	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than $10 M
		Greater than $10 M	
		Between $2 M and $10 M	
		Between $500K and $1,999,999	
		Less than $500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	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%	
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 single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
		Requested but not received	
		Requested and received	
		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	All or nearly all project benefits have been identified and 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	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 5 years
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
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 reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: 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)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

Agency: State Courts System Project: Trial Court Technology Comprehensive Plan

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
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	Just-in-time purchasing of hardware and software is documented in the project schedule
		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	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and 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 and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		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	Yes, bid response did/will include proof of concept or prototype
		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	

Agency: State Courts System Project: Trial Court Technology Comprehensive Plan

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	Agency
		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 board has been established
		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 Project: Trial Court Technology Comprehensive Plan

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 Project Management team will use the methodology selected by the systems integrator Yes	No
7.02	For how many projects has the agency successfully used the selected project management methodology?	None 1-3 More than 3	None
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None Some All or nearly all	None
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few 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	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 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all 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 41 to 80% -- Some are traceable 81% to 100% -- All or nearly all requirements and specifications 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 Some deliverables and acceptance criteria 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
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 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	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 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	0% to 40% -- None or few have been defined to the work package level
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes No	Yes

Agency: State Courts System Project: Trial Court Technology Comprehensive Plan

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		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 processes
		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	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		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 Project: Trial Court Technology Comprehensive Plan

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	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	More than 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	Less than 5
		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	None
		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	Agency-wide business process change
		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	Similar 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 F – CAPS Viewer Implementation Timeline

CAPS Viewer Implementation Timeline

Circuit	County	CAPS Viewer	Current CAPS Viewer Implementation Date		Implemented
			Civil	Criminal	Go-Live Date
1	Escambia	Mentis	January 2016	January 2016	
	Okaloosa	Mentis	Implemented	Implemented	September 2014
	Santa Rosa	Mentis	Implemented	Implemented	April 2012
	Walton	Mentis	Implemented	Implemented	November 2013
2	Franklin	Mentis	Implemented	Implemented	March 2014
	Gadsden	Mentis	December 2015	December 2015	
	Jefferson	Mentis	Implemented	Implemented	March 2014
	Leon	Mentis	December 2015	December 2015	
	Liberty	Mentis	Implemented	Implemented	March 2014
	Wakulla	Mentis	Implemented	Implemented	March 2014
3	Columbia	Mentis	Implemented	Implemented	July 2014
	Dixie	Mentis	Implemented	Implemented	July 2014
	Hamilton	Mentis	Implemented	Implemented	July 2014
	Lafayette	Mentis	Implemented	Implemented	July 2014
	Madison	Mentis	Implemented	Implemented	July 2014
	Suwannee	Mentis	Implemented	Implemented	July 2014
	Taylor	Mentis	November 2015	Implemented	July 2014
4	Clay	CORE	January 2016	January 2016	
	Duval	CORE	Implemented	Implemented	November 2012
	Nassau	CORE	December 2015	December 2015	
5	Citrus	Mentis	Implemented	Implemented	November 2014
	Hernando	Mentis	September 2015	September 2015	
	Lake	Mentis	Implemented	Implemented	July 2013
	Marion	Mentis	December 2015	December 2015	
	Sumter	Mentis	Implemented	Implemented	March 2015
6	Pasco	JAWS	TBD	December 2015	
	Pinellas	JAWS	Implemented	December 2015	June 2015
7	Flagler	Pioneer	Implemented	Implemented	June 2015
	Putnam	Pioneer	December 2015	December 2015	
	St. Johns	Pioneer	Implemented	Implemented	June 2015
	Volusia	Pioneer	October 2015	October 2015	
8	Alachua	ICMS	Implemented	Implemented	1999
	Baker	ICMS	Implemented	Implemented	1999
	Bradford	ICMS	Implemented	Implemented	1999
	Gilchrist	ICMS	Implemented	Implemented	1999
	Levy	ICMS	Implemented	Implemented	1999
	Union	ICMS	Implemented	Implemented	1999

Circuit	County	CAPS Viewer	Current CAPS Viewer Implementation Date		Implemented
			Civil	Criminal	Go-Live Date (civil/criminal)
9	Orange	Mentis	Implemented	Implemented	November 2014
	Osceola	Mentis	November 2015	November 2015	
10	Hardee	ICMS	Implemented	Implemented	July 2013
	Highlands	ICMS	Implemented	Implemented	July 2013
	Polk	ICMS	Implemented	Implemented	August 2014
11	Dade	Mentis	October 2015	2018	
12	Desoto	Mentis	Implemented	Implemented	September 2014
	Manatee	Mentis	Implemented	Implemented	January 2012
	Sarasota	Pioneer	Implemented	Implemented	July 2013
13	Hillsborough	JAWS	Implemented	Implemented	April 2013/April 2014
14	Bay	ICMS	Implemented	Implemented	February 2014
	Calhoun	ICMS	Implemented	Implemented	January 2014
	Gulf	ICMS	Implemented	Implemented	January 2014
	Holmes	ICMS	Implemented	Implemented	January 2014
	Jackson	ICMS	Implemented	Implemented	January 2014
	Washington	ICMS	Implemented	Implemented	January 2014
15*	Palm Beach	ICMS	Implemented	Implemented	2009
16	Monroe	JAWS	January 2016	January 2016	
17	Broward	In-House	Implemented	Implemented	June 2013
18	Brevard	ICMS	September 2015	September 2015	
	Seminole	In-House	Implemented	Implemented	September 2014
19	Indian River	Mentis	Implemented	Implemented	July 2014
	Martin	Mentis	Implemented	Implemented	December 2013
	Okeechobee	Mentis	Implemented	Implemented	December 2013
	St. Lucie	Mentis	Implemented	Implemented	September 2014
20	Charlotte	Mentis	Implemented	Implemented	November 2014
	Collier	Mentis	November 2015	November 2015	
	Glades	Mentis	Implemented	Implemented	February 2014
	Hendry	Mentis	Implemented	Implemented	February 2014
	Lee	Mentis	September 2015	September 2015	

***** 15th Circuit modified ICMS to meet unique requirements but is not CAPS compliant

In-House systems not CAPS compliant - *Certification demos scheduled for October 13-14, 2015 (except Seminole County)*

Note: Implementation dates are subject to change due to available funding

Updated: September 8, 2015

Appendix G – Trial Court Technology Comprehensive Plan Projected Costs

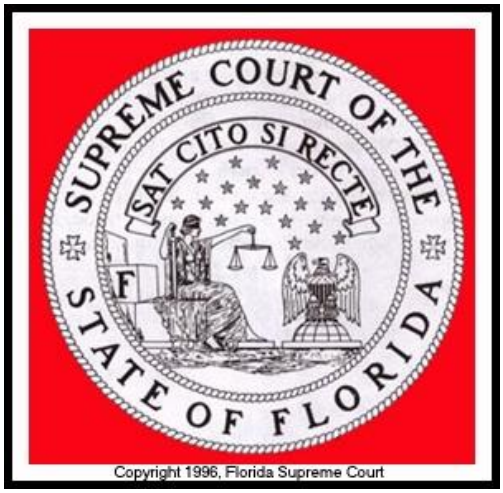
Trial Court Technology Comprehensive Plan 2016-17 Legislative Budget Request
Projected Costs FY 2016-17 and FY 2017-18

	Technology Projects to Support Business Capabilities	FY 2016-17 Legislative Budget Request			FY 2017-18 Legislative Budget Request		
		General Revenue Recurring	General Revenue Non-Recurring	Total	General Revenue Recurring	General Revenue Non-Recurring	Total
Solution I: Secure Case Management and Processing System (CAPS Viewers)							
1	*Expansion to All Judges*	$0	$3,547,818	$3,547,818	$0	$0	$0
2	*Maintenance*	$1,856,988	$0	$1,856,988	$0	$0	$0
3	*Hardware Refresh*	$433,333	$0	$433,333	$0	$0	$0
4	*Enhancement*	$250,000	$0	$250,000	$0	$0	$0
5	*Server Refresh*	$658,614	$0	$658,614	$0	$0	$0
	Group I Subtotal	*$3,198,935*	*$3,547,818*	*$6,746,753*	*$0*	*$0*	*$0*
Solution II: Court Reporting and Court Interpreting							
6	*Court Reporting Equipment - Expansion*	$0	$796,577	$796,577	$119,487	$0	$119,487
7	*Court Reporting Equipment - Refresh / Maintenance*	$2,583,363	$1,582,402	$4,165,765	$0	$0	$0
8	*Court Reporting / Open Court - Maintenance*	$175,000	$0	$175,000	$0	$0	$0
9	*Remote Interpreting Equipment - Expansion* [1]	$0	$2,412,750	$2,412,750	$0	$3,263,000	$3,263,000
10	*Remote Interpreting Equipment - Refresh / Maintenance* [1]	$0	$0	$0	$434,295	$0	$434,295
	Group II Subtotal	*$2,758,363*	*$4,791,729*	*$7,550,092*	*$553,782*	*$3,263,000*	*$3,816,782*
Solution III: Support for Minimum Level of Technology							
11	*Core Function Support for Smaller Counties*	$4,150,195	$0	$4,150,195	$0	$0	$0
12	*Bandwidth* [2]	$1,260,988	$0	$1,260,988	$126,098	$0	$126,098
13	*Information Resource Management Consultant (20 FTE, 1 per Circuit)*	$2,032,860	$47,600	$2,080,460	$0	$0	$0
14	*Information Systems Analysts (45 FTE)*	$3,066,885	$107,100	$3,173,985	$0	$0	$0
15	*Training and Education*	$337,500	$0	$337,500	$0	$0	$0
	Group III Subtotal	*$10,848,428*	*$154,700*	*$11,003,128*	*$126,098*	*$0*	*$126,098*
	TOTAL	**$16,805,726**	**$8,494,247**	**$25,299,973**	**$679,880**	**$3,263,000**	**$3,942,880**

[1] Implementation of statewide remote interpreting equipment (non-recurring cost) will occur over a three-year period, with recurring maintenance costs associated with the equipment lagging 1 year behind purchase date. This will allow for continued implementation of interpreter endpoints with the goal of coverage in 1/3 of non-civil courtrooms in large circuits; 1/2 of non-civil courtrooms in medium circuits; and 3/4 of non-civil courtrooms in small circuits. In FY 2018-19, $1,508,000 in non-recurring funds will be requested for the third year of expansion and $692,160 in recurring funds will be requested for maintenance to support equipment purchased in the previous year. In FY 2019-20, $250,560 recurring funds will be requested for maintenance to support equipment purchased in the previous year and $1,441,919 in recurring funds will be requested for refreshing equipment in the out years.

[2] A projected 10% annual growth rate is applied to bandwidth costs in out years, resulting in a request for $138,708 in FY 2018-19, $152,579 in FY 2019-20, and $167,837 in FY 2020-21.

Appendix H – Integration and Interoperability Document



Supreme Court of Florida
Office of the State Courts Administrator

Integration and Interoperability Document

Version 2.3

9 May 2014

Revision History

Date	Version	Changed By	Notes
08/27/2002	1.0	M. Ervin	First edition of the Interoperability & Integration Requirements Document
09/12/2002	1.1	M. Ervin	Incorporated comments from OSCA review
10/02/2002	1.2	M. Ervin	Incorporated comments from CTOs' review
10/09/2002	1.3	M. Ervin, OSCA	Additional refinement of document for release
10/28/2004	1.4	CTO Workgroup	Annual Review and Update
11/05/2004	1.5	OSCA	Final Draft
11/15/2004	1.6	Gary Hagan	Update Wire Section
11/16/2004	1.7	OSCA	Update XML Specifications
07/10/2007	1.8	I&I Workgroup	
03/19/2008	1.9	Jannet Lewis	Updated Network Diagrams MFN Network
4/29/2011	2.0	Technical Standards Committee	Updated entire document
05/05/2011	2.1	Lakisha Hall	Updated Desktop Standards section as a result of the FCTC May 4, 2011 meeting
10/15/2013	2.2	Technical Standards Subcommittee	Updated entire document
05/09/2014	2.3	Technical Standards Subcommittee	Added new section 3.3.1.2 Data Transmission

Table of Contents

Figures

1. Overview

This section contains subsections that describe the scope of the processes to which the Interoperability and Integration requirements apply.

2. Background

The integration and interoperability requirements and standards are derived primarily from industry best practices and existing standards. The functional requirements of the judicial branch drive the need to define an environment that can fulfill the needs of all justice partners as they interact with the public and other federal, state, and local agencies. The hardware and software platforms, network infrastructure, and methods for data exchange that are discussed and recommended in this document support the vision of the Florida Courts Technology Commission relative to integration and interoperability among multiple heterogeneous systems.

3. Requirements and Standards for Integration & Interoperability

This section contains the preliminary requirements and potential standards for interoperability and integration in the judicial branch environment. The requirements and standards were defined by analyzing functional requirements, current information architecture, and infrastructure reports, and applying that knowledge to a solution that reflects the current state of the information management industry standards and best practices for integration and interoperability.

3.1 Diagrams

The diagrams in this section give an overview of the conceptual network architecture for the courts (Figure 1),for the circuits (Figure 2) and court/clerk approved interface method (Figure 3).

Figure 1. Florida Courts Conceptual Network Design

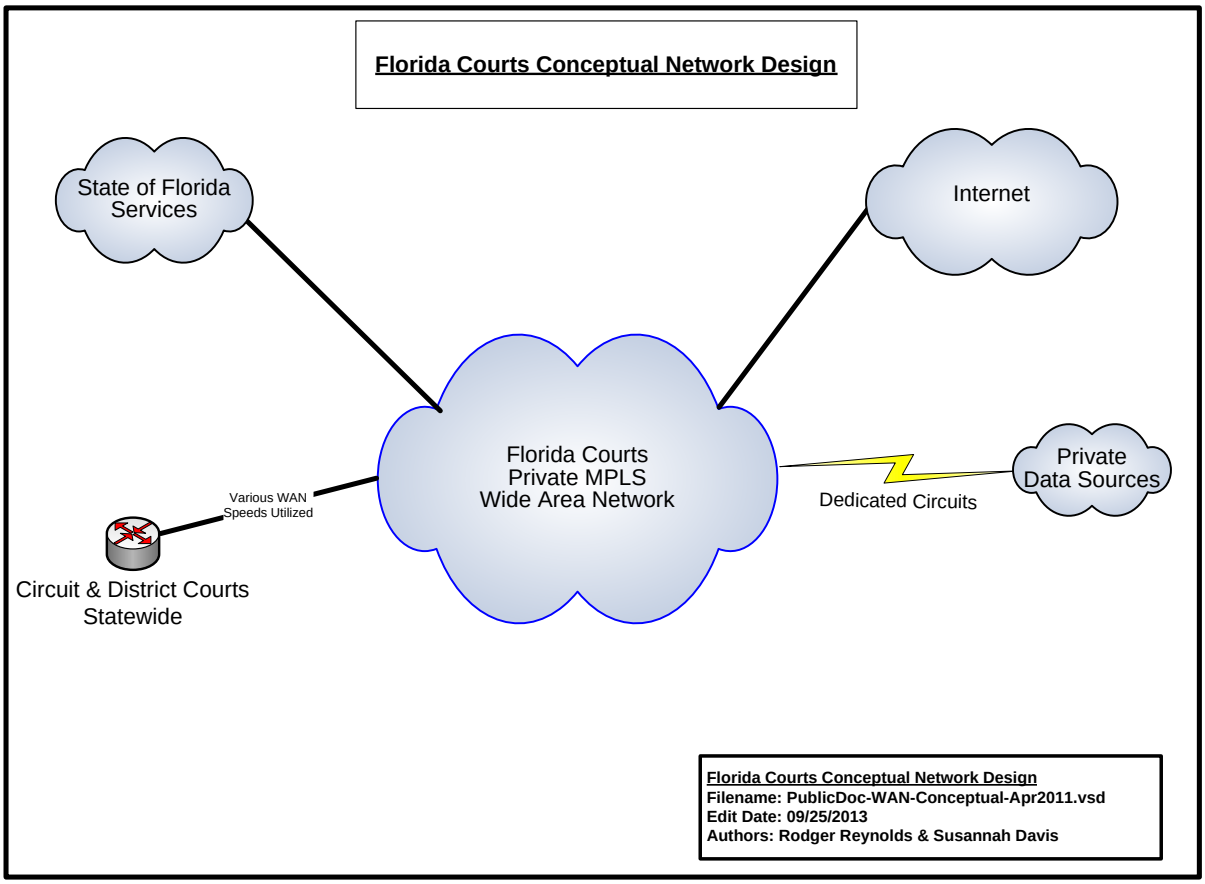


Figure 2. Florida Courts Conceptual Circuit Network Design

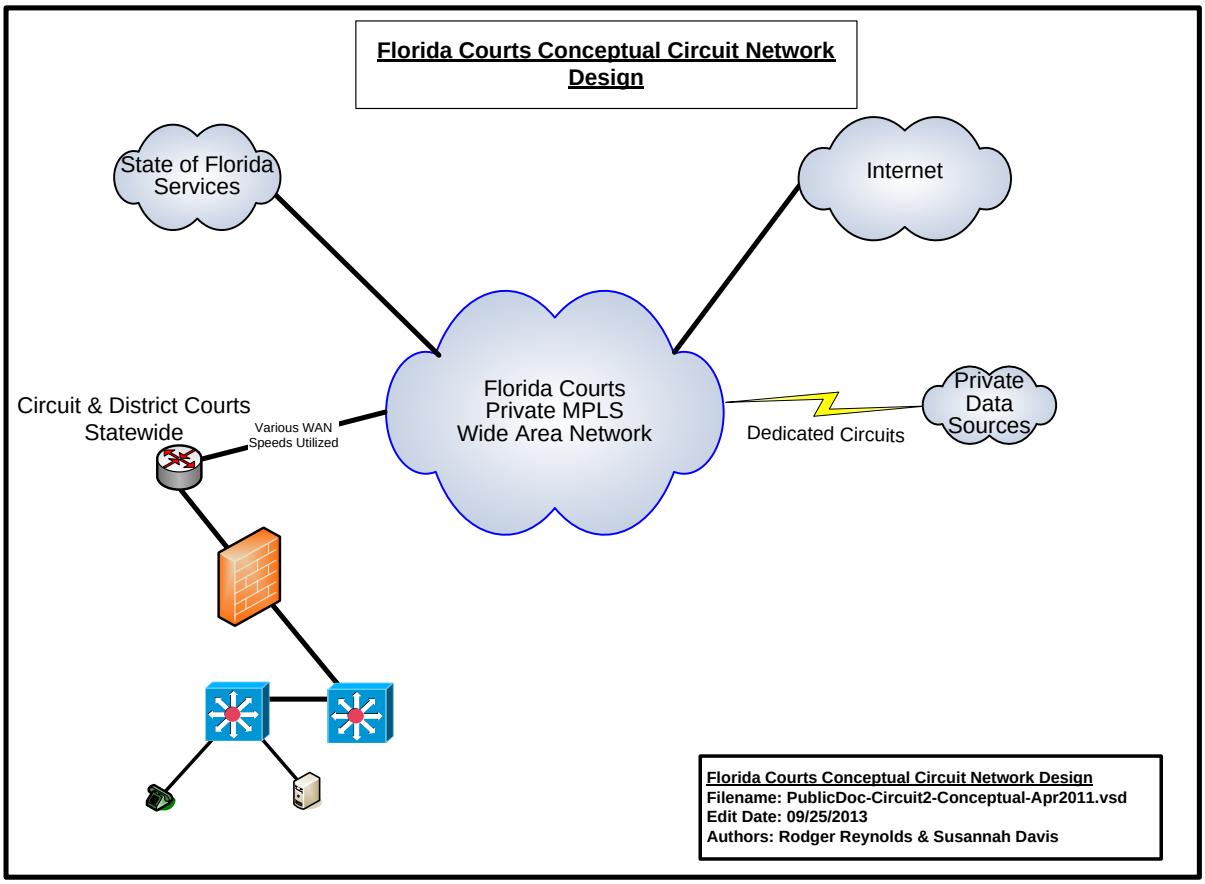
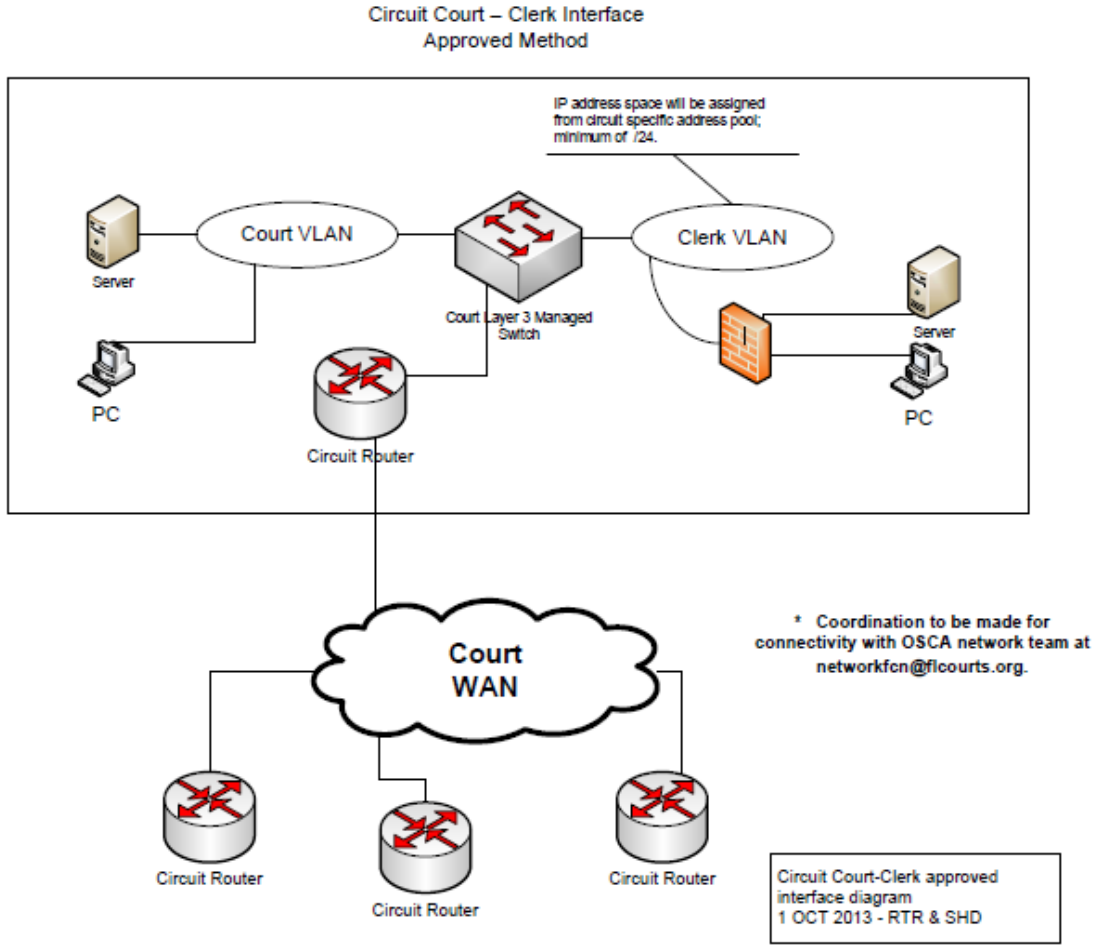


Figure 3. Circuit Court – Clerk Interface Approved Method



3.2 Integration Requirements and Standards

Integration requirements and standards are needed to provide the court with an understanding of both the high-level logical design requirements and the physical infrastructure standards and requirements that will be required to efficiently integrate the disparate systems that will support the courts.

3.2.1 Infrastructure Standards and Requirements

Standards and Requirements are established to provide an approach to hardware and software standardization and replacement policies that will aid in keeping technology current. Due to Florida Statues 29.008, county(s) within each Judicial Circuit are responsible for the courts technology costs relative to computer hardware (i.e., desktops with monitors, laptops and servers, etc.) Because of technology flux and the larger issue of total cost containment, life cycle management planning is recommended. The plan should include hardware and software procurement strategies, physical asset management, technical support strategies, and retirement and disposal strategies that all enhance the attainment of organizational business objectives.

It is important to remember that the personnel costs for maintenance of computer systems are frequently greater than the hardware and system software costs. Therefore the goal of these guidelines is twofold: 1) Provide a robust infrastructure that will support the integration and interoperability of the judicial branch information systems and 2) Standardize in order to save money due to economies of scale.

3.2.1.1 Desktop Standards

Personal Computer (PC) procurements are expected to achieve certain life cycle and performance objectives. In general, a three or four-year asset life cycle is recommended. The minimum and recommended performance level requirements for desktops currently are listed in Figures 3 and 4. The performance level required will be determined by evaluating various criteria, including the number and types of applications being run, organizational needs, and performance expectations of the user.

Courtroom/Hearing Room

Monitors size: Courtroom and hearing room monitors shall have sufficient screen size that has the ability to display multiple electronic documents. 30” monitor or better preferred. Monitor placement should be in a manner that prevents obstruction of the judge’s view of the courtroom or hearing room.

Judge’s Chambers

Monitor size: 22” or greater with capability for dual monitors

Judge's Portable Device

Portable devices such as tablet computers should be provided to judges to allow remote access to court files.

Monitors

Monitor replacement lifecycles may differ from desktop lifecycles based on functionality and usage requirements. Touch screen monitors shall be used where deemed appropriate by the court.

Figure 4. Minimum Desktop Configurations for New Machines		
		Details
Hardware	**Processor**	Dual Core Business Class Intel or AMD (**3.4** GHz or greater)
	Memory (RAM)	8 GB or Greater
	Hard Disk	500 GB
	Video	DirectX 9 or greater Capable (WDDM Driver Support recommended)
	Monitor & Graphics RAM	Flat Panel size based on usage 256 MB or greater, system should be able to accommodate dual monitors
	Sound	Audio is required in accordance with planned use of the system
	USB	Easily accessible USB 3.0 Interface and multiple USB ports as required
	Optical	DVD-RW combo drive
	Life Cycle	3-4 Years
Network Connection	**High-bandwidth**	100/1000BaseT Ethernet
	Low-bandwidth	Wireless as required

3.2.1.2 Laptops

Figure 5. Recommended Laptop Configurations		
		Details
Hardware	**Processor**	Dual Core Business Class Intel or AMD (3 GHz or greater)
	Memory (RAM)	8GB or Greater

	Hard Disk	500 GB
	Video	DirectX 9 or greater Capable (WDDM Driver Support recommended) 256 MB (in addition to RAM)
	Monitor	**Depends on application**
	Sound	Audio required.
	USB	Easily accessible USB 3.0 Interface and multiple USB ports as required
	Optical	DVD-RW drive
	Lifecycle	3 years
Network Connection	**High-bandwidth**	Integrated 100/1000 Ethernet LAN (standard)
	Low-bandwidth	Integrated 56 Kbps
	Wireless	**Internal adapter supporting 802.11 b/g/n**

Note: In moving towards electronic documents, laptop screen size or other options for viewing should be considered.

3.2.1.3 Client (Desktop/laptop) Software Standards

The software requirements for desktops provide a standardized environment for users. This standardization will simplify and make more efficient the initial deployment and on-going support for desktops and laptops.

Figure 6. Software Requirements and Standards	
Software	**Details**
Operating System	Windows 7 or higher
Office Suite	Microsoft Office 2010 or greater or compatible format**
HTML Browser	Microsoft Internet Explorer 9 or higher
Other Applications	1) PDF Reader 2) Anti-virus
	****Microsoft Enterprise Agreements should be considered for maximum upgrade benefits.**

3.2.1.4 Portable Devices

Portable devices for purposes of this section are devices that have computing power that allows it to access the internet, receive email, run applications on the client side, and interact

with application programs on the server side. These devices act as a portable personal computer and may include tablets, smart phones, and other similar devices. Portable devices presently have limited security features, and should be limited to less sensitive areas of access unless a specialized security measure can be applied that will meet security standards. Portable device usage must comply with the Criminal Justice Information Services (CJIS) Security Policy under the U.S. Department of Justice, Federal Bureau of Investigation.

Figure 7. Recommended Tablet Configurations

		Details
Hardware	**Memory**	4 GB or Greater
	Storage	64 GB or Greater
	Lifecycle	2 years
Network Connection	**Broadband**	Broadband capable where applicable
	Wireless	**Internal adapter supporting 802.11 b/g/n**

3.2.1.5 Mobile Device Computing: Any device, anytime, anywhere

Mobile computing technologies increase productivity and flexibility, as well as support continuity of operations in an emergency. Mobile Computing is a rapidly growing segment of court technology; however, with new efficiencies come new security risks: great diligence must be applied to ensure that developing standards for e-filing and data protection factor devices that can access, view, manipulate and store private court information.

Mobile devices generally refer to smartphones and tablet devices that support multiple wireless network connectivity options (primarily cellular and Wi-Fi), and may also host voice and data applications. This section will focus on the mobile computing, or data, element.

Mobile Device Management (MDM)

A key component to successful control and administration of mobile computing is a Mobile Device Management (MDM) Enterprise System, which security, accessibility and content policies on many popular tablets and smart phones.

MDM products have been developed to mitigate threats to mobile devices by enabling enterprise-controlled device configuration, security policy enforcement, compliance monitoring, and response (e.g., remotely lock and/or wipe a mobile device that has been reported as lost or stolen). MDM solutions typically include an enterprise server(s) component and an application installed on the mobile device to manage device configuration and security and report device status to the MDM.

Small Florida court technology budgets juxtaposed against the tremendous popularity of the smartphone and tablet have led to an unprecedented rise in Bring Your Own Device, or BYOD. Standards to exercise control, manage expectations, and define acceptable use policies should be developed and implemented for all such users.

DDNA
Securing mobile devices should focus on the following 4 categories:

- **Device** security: methods to prevent unauthorized device use, such as an MDM.
- **Data** security: protecting data at rest even on lost/stolen device, such as an MDM.
- **Network** security: network protocols and encryption of data in transmission.
- **Application** security: security of the applications, and operating system, such as an MAM .

Recommended MDM Requirements:

- Enforce passcodes on devices
- Allow remote location of device
- Allow remote wiping of device's drive/data
- Allow remote locking
- Detect rooted/jailbroken phones, which are more vulnerable to malicious code
- Inventory of devices
- Policy compliance

Mobile Application Management (MAM)
Mobile application management (MAM) allows the court to set up an enterprise application store to deploy approved applications, to enforce application policies, and remotely upgrade or uninstall applications.

To mitigate the threat of malicious or vulnerable mobile applications to mobile devices, the court should use MAM to provision for application whitelisting, or allowing installation of mobile applications from authorized enterprise application stores application blacklisting, which blocks the installation of known vulnerable applications.

Recommended MAM Requirements:

- Allow for the installation of applications from a private site
- Control the push/pull of updates to devices
- Allow for the remote installation of applications
- Allow for the remote wiping of non–standard applications
- Whitelisting of select applications from public sites
- Blacklisting of select applications from based either on application or site

- Application Inventory

Standards for Acceptable Use: Managing Expectations
Until such time as the Florida Court Technology Commission approves a standard policy, each circuit is recommended to develop an acceptable use consent policy that will outline expectations for security, support and data access on a mobile device. It is recommended that the Trial Court Administrator, General Counsel, and Court Technology Officer draft a policy for approval by the Chief Judge. This policy should at a minimum address the following areas:

- What is the circuit policy for bring your own device (BYOD) hardware?
- For BYOD devices:
    - What is the data backup policy?
    - What is the extent of policy enforcement versus device support?
        - Security enforcement-when can a device be wiped?
    - Is the user cognizant of rules that constitute the creation of public records?
    - What enforcement exists for connectivity to unsecured networks (VPN from Starbucks)
    - Confidential data storage on the device?

- For court provided devices:
    - What are acceptable recreational uses for the device (music, photos)?
    - What is the data backup policy?
    - Are secure network connections enforced?
    - What is the acceptable use of data storage on private or public cloud?

Wireless Networking
Though both wired and wireless networks are vulnerable to the threat that intruders might snoop out network traffic, or inject rogue traffic, wireless networks are clearly more susceptible to data theft and hijack. Mobile computing poses an inherent risk to data security that must be strictly managed and monitored. Using a VPN tunnel to encrypt mobile access to corporate resources makes for an excellent first line of defense. Additionally, it is important to educate users concerning the dangers of connecting to a wireless network that does not use 128-bit WEP or WPA encryption.
Users should understand that most public Wi-Fi is not encrypted and is, by its nature, not secure. By utilizing an encrypted VPN connection, the data transmitted between the device and the VPN endpoint are encrypted, even though the Wi-Fi connection itself is not encrypted. If no VPN is in use, then using encrypted protocols (such as HTTPS instead of HTTP) where possible will provide encryption between the device and the remote endpoint.

For internal wireless court/county networks, VLANS or MAC address filtering provide additional controls over secure connectivity.

Bluetooth settings, when not in use, should be set to turn off.

CJIS Compliance
As with any new data access method employed by the Court, CJIS requirements should be reviewed and vetted against the proposed solution to ensure compliance, especially in areas concerning public Wi-Fi or BYOD policies.

3.2.1.6 Servers

Production servers should support both common/shared services as well as organization-specific services. The proposed servers should meet a combination of priorities, including affordability, performance, scalability, space-optimization, and support for the mission-critical applications that will comprise the system.

3.2.1.7 Network Components

Courts LAN

Within each circuit or county, an internal network provides access from the judicial client to the State Network. The State Network will be the primary means used to support the transport of media among circuits.

Considerations/Recommendations:
The standard for agency LAN implementations should be established. It is recommended that the standard include the following.

- Naming conventions using DNS should be standardized across the courts
- Ethernet topology (over unshielded twisted pair cabling)
- High-speed copper (UTP) to the desktop (CAT5e or better)
  - Utilize BICSI Standards as a guideline for structural wiring
- Fiber optic cable for interconnections between high-speed concentration areas
  - Standardized connectors (ST, SC, LC, FC) and type single/multimode
- Networking equipment should be based on a full-switched TCP/IP network
  - Backbone should have Layer 3 capability for VLAN/Routing/QoS
  - Switches should have fiber uplink capability
  - Switches shall be manageable via IP or other remote protocol
- Scalable high speed Ethernet/Fiber switches
- Bandwidth standards and requirements within and among each judicial location are recommended at:
  - Gig to servers
  - Gig to workstations

Use of existing LAN technology at the Judicial Locations should be evaluated on a judicial location-by – judicial-location basis and where required the LAN infrastructure should be upgraded to meet the standard.

Any local area network technology dedicated for use by the court should follow the following requirements:

Feature Sets	IP Routing, VRRP, HSRP, STP enhancements, 802.1s/w, IGMP snooping, IEEE 802.3af Power over Ethernet (PoE).
Security	ACL, port security, MAC address notify, AAA, RADIUS/TACAC+, 802.1x, SSH, SNMPv3, IPv6
Advanced QoS	Layer 2–4 QoS with Class of Service (CoS)/Differentiated Services Code Point (DSCP), & Differentiated Services Model (DiffServ) supporting shaped round robin, strict priority queuing. QoS compliant with DiffServ (IETF) standards as defined in RFC 2474, RFC 2475, RFC 2597 and RFC 2598 and DSCP (IETF) standards as defined in RFC 791, 2597 2598, 2474, 3140 4594[MediaNet]. 802.1p, 802.1Q, 802.11e Resource Reservation protocol (RSVP) in RFC 2205.
Management	One IP address and configuration file for entire stack. Embedded web-based cluster management suite to Layer 2/3/4 services easy configuration of network wide intelligent services in local or remote locations automatic stack configuration.
Performance	Distributed Layer 2 and Layer 3 distributed providing *wire-speed* switching and routing via Gigabit Ethernet and Fast Ethernet configurations
Deployment	Automatic configuration of new units when connected to a stack of switches. Automatic OS version check of new units with ability to load images from master location. Auto-MDIX and Web setup for ease of initial deployment. Dynamic trunk configuration across all switch ports. Link Aggregation Control Protocol (LACP) allows the creation of Ethernet channeling with devices that conform to IEEE 802.3ad. IEEE 802.3z-compliant 1000BASE-SX, 1000BASE-LX/LH, 1000BASE-ZX, 1000BASE-T and CWDM physical interface support through a field-replaceable small form-factor pluggable (SFP) unit. 10 gigabit Ethernet IEEE 802.3-2008
Configuration / Survivability	Switches must work standalone and in a stacked configuration. Stack up to 9 units, Separate stacking port. Minimum 32Gbps fault tolerant bidirectional stack interconnection. Master/slave architecture with 1:N master failover . Less than 1 second Layer 2 failover with nonstop forwarding. Less than 3 second Layer 3 failover with no interrupt forwarding. Cross-stack technology, cross-stack QoS Single network instance (IP, SNMP, CLI, STP, VLAN). Minimum of 24 Ethernet 10/100/1000 ports and 2 SFP uplinks with IEEE 802.3af and pre-standard Power over Ethernet (PoE).
Interface	Must have “Cisco” compatible command-line interface (CLI)
Software	• Intelligent services: Layer 3 routing support via RIP, OSPF, static IP routing. • Dynamic IP unicast routing, smart multicast routing, routed access

	control lists (ACLs), Hot Standby Router Protocol (HSRP) support and Virtual Router Redundancy Protocol (VRRP).

Courts WAN

The wide area network (WAN) infrastructure supporting the courts system will use the State Network as the primary transport media. The particular WAN hardware and software solution should be evaluated and customized to handle the additional traffic volumes that may be required from the system. Integration of local county network infrastructure to the State Network will be handled on a case-by-case basis as defined in Florida Statues 29.008(f)(2).

***Considerations/Recommendations*:**

- The courts should strive to standardize Domain Naming Services conventions, Network Address Translation (NAT) conventions and TCP/IP conventions (including sub netting) based on RFP standards.
- The current infrastructure supports high-speed switching technology The WAN infrastructure should include the use of TCP/IP for inter-agency communications.
- Where possible the communications infrastructure should provide for coexistence with existing architectures until these architectures can meet the standard.
- Multi-protocol WAN bandwidth may have to expand to handle traffic while supporting other emerging applications and business requirements.
- Each courthouse or remote facility should have a high-speed connection back to the State Network unless a high-speed network has been provided by the county already. The speeds will vary for each Circuit depending on bandwidth requirements.
- Throughput on the WAN should be benchmarked at key junctures before the system becomes operational, and should be continually monitored thereafter.
- Since bandwidth provided by the state network is a shared resource, bandwidth management at the circuit level is strongly recommended

References:
Structural Wiring BICSI Standards
http://www.bicsi.org/Publications/Index.aspx
QoS – Quality of Service Guidelines

Wireless Technology

In the Courts, wireless technology is used for both point-to-point connectivity, as well as multi-point connectivity. Point-to-point is utilized to extend the wide-area network, connecting physically separate networks. Multi-point wireless is used to extend the local area network to wireless users within a limited physical area. It is beneficial to the organization when addressing mobile judicial users within a building, as well as fixed user

locations where wired LAN connectivity is unavailable. The following is a list of guidelines that should be considered when developing a wireless security plan.

General Wireless Guidelines

- Change the default level of product security — out of the box, WLANs implement no security
- Change the out-of-the-box settings — do not use default or null SSIDs or passwords
- Implement wireless access points on switched network ports
- Develop and publish standards and policies for departmental WLANs
- At a minimum use 128-bit keys or greater Implement MAC address tracking to control network security
- Monitor access logs or use network-based intrusion detection to detect unauthorized access or attack
- Highly sensitive networks should use encryption with a minimum of 128 bit, the SSID should not be broadcast, and MAC authentication required
- Disable WPS (Wi-Fi Protected Setup)
- Must meet current CJIS security standards

The organization should develop a practical and comprehensive wireless solution, including a detailed security plan, that is based on IEEE 802.1x industry standards and that is supported by the user community.

Multi-point Wireless

Due to the open nature of wireless, each organization should design and publish security standards for the wireless solution. The wireless LAN (WLAN) industry uses several standards categorized by the IEEE 802.11 classification. This set of standards addresses both bandwidth and security issues. While cost will vary between technologies, the primary consideration should be security through encryption and authentication. Restricted area of coverage for wireless access points should also be considered; covering only the areas within the physically controlled area reduces the accessibility by unauthorized users.

The following is a list of general guidelines that should be considered when developing a wireless security plan and implementing wireless local area networks (WLAN). Because wireless technology enhancements are frequent, current and emerging standards should be consulted during the initial and ongoing planning stages of a multi-point wireless project.

Multi-point Wireless Guidelines

- Develop and publish standards and policies for departmental WLANs. Address acceptable use and levels of service for multiple user types (if applicable).
- Perform site surveys for wireless coverage, plan ahead for access point locations to address LAN and power requirements.
- Implement wireless access points on switched network ports

- Security must be addressed on two levels: encryption and authentication.
- The newest security standard is 802.11-2007 (sometimes referred to as WPA2), incorporating authentication by 802.1x standard. 802.1x supports authentication server or database service including Remote Authentication Dial-In User Service (RADIUS), LDAP, and Windows domain, and Active Directory. Encryption in 802.11-2007 is strong AES.
- WPA (Wi-Fi Protected Access) will be used as the minimum.
- Change the out-of-the-box settings — do not use default or null SSIDs or passwords. At a minimum, activate the default level of product security.
- Set access point SSID broadcasting to OFF
- Consider implementing VPN with strong encryption for the wireless networks. Place access points outside of the firewall. Use VPN for connectivity to the intranet.
- Implement MAC address authentication and tracking to control network security. Utilize monitoring software to limit network access based on user's physical location and IP address, granting or denying access to services as needed.
- Implement additional authentication if supported by the vendor (RADIUS, LDAP, etc.)
- Monitor access logs or use network-based intrusion detection to detect unauthorized access or attack
- Any public access must be outside the court's network.

Point-to-Point Wireless

When implementing a wireless solution to connect remote locations, the following items need to be considered:

Point-to-Point Wireless Guidelines

- Bandwidth / Network Requirements – Video Conferencing, DCR Monitoring, VoIP, data, and latency
- Distance / Path – Line of sight is required.
- Tower Locations and Access
- Security
  Physical security – Tower location and equipment need to be secure.
  Network security
- Availability – Recommend 99.98 or better.
- Management – SNMP compliant.
- Warranty and Maintenance – Equipment, tower climbing and maintenance

The organization should develop a practical and comprehensive wireless solution, including a detailed security plan, that is based on IEEE industry standards and that is supported by the user community.

Licensed bandwidth has oversight by the FCC, and must adhere to FCC rules and regulations. Licensed bandwidth allows for guaranteed frequency ranges that are assigned to the associated license. This prevents interference with other frequency. Unlicensed bandwidth does not have oversight, and has an associated risk of interference from competing wireless locations. Any interference issues must be negotiated on a case-by-case basis.

3.2.2 Security Standards

Information Security should encompass many technical and non-technical areas. This section describes the comprehensive high-level technical security architecture strategy that should be addressed when defining Information Security requirements.

Information Security Standards are organized in four categories:

1. Device Control
2. Personnel Control
3. Network Control
4. Physical Security

These standards address the overarching Information Security needs and provide a framework for developing compliant Information Security Standards and Policies. Security Standards shall comply with Criminal Justice Information Services (CJIS) Security Policy under the U.S. Department of Justice, Federal bureau of Investigation where applicable.

Device Control

- Access Rights and Privileges - Computer-resident sensitive information shall be protected from unauthorized use, modification, or deletion by the implementation of access control rights and privileges.
- Anti-Virus Protection - Platforms that are susceptible to malicious code shall be equipped with adequate software protection when such protection is available.
- Authentication of Desktop Users - Access to the information devices shall be secured and authenticated using adequate security techniques.
- Backup Policy - Data sensitive devices shall undergo an adequate backup on an adequately periodic basis to protect against loss of information.
- Business Continuity & Disaster Recovery - Formal Business Continuity and Disaster Recovery Plan(s) shall be documented and implemented in accordance with applicable Florida State Courts policy and administrative rules.
- Transmission of Sensitive Data - Sensitive data (security management information,

transaction data, passwords and cryptographic keys) shall be exchanged over trusted paths, or using adequate encryption between users, between users and systems, and between systems.

- E-mail Anti-Virus Protection - The entry and exit of viruses and potentially harmful attachments in the email infrastructure shall be effectively limited.
- Platform Level Administration - Local - Local access to system console functions shall be restricted to appropriately authorized Systems Administrator(s).
- Platform Level Administration - Remote – Remote access shall be secured via adequate authentication.
- System Administration Privileges - System administration privileges shall be locally granted by each Covered Entity only to authorized personnel.

Personnel Control

- Acceptable Use Policy – Policy addressing the acceptable use of information technology shall be documented.
- Acceptable Use Training - All employees shall undergo training/briefing/orientation that supports compliance by employees with all elements of acceptable use and applicable Information Security policies and guidelines.
- Dial-Up/Remote Access Policy - Dial-Up and/or Remote Access Policy shall be written and implemented where applicable.
- Sensitive and Exempt Data Handling - All employees with appropriate access shall be trained on handling sensitive and exempt data. FDLE CJIS Guidelines are required for any workstations accessing FCIC/NCIC data directly or through the Judicial Inquiry System (JIS).
- Incident Response - Incident Response procedures shall be maintained which guide response to breaches in device, network, and physical security.

Network Control

- Network - Network security encompasses preventing unauthorized access to the LANs, MAN, and WAN that will be used to access judicial services.
- Device Resistance - All critical devices within the Perimeter Network shall be resistant to attack in relation to known threats for which there are available defenses.
- Network Audit Logs - Network audit logs shall provide sufficient data to support error correction, security breach recovery, and investigation. Network audit logs should be

retained for a minimum of three months.

- Remote Access - All remote access methods providing access to critical systems shall be identified and inventoried. Remote access to the court's network and resources will only be permitted providing that authorized users are authenticated, data is encrypted across the network, and privileges are restricted. Remote access logs should be recorded for a minimum of three months. Centralized point of access is preferred.

- Wireless Network Security and Management - All wireless networks and devices shall be locally authorized by each Covered Entity and have adequate security configurations.

Physical Control

- Physical Security Policy – Physical security policies shall adequately address information technology infrastructure.

3.2.3 System Management Tools

A comprehensive set of management tools will be required to support an integrated information system environment. The system architecture and its components should support centralized monitoring and control. Characteristics of system management include:

- A Systems Management application should be utilized to provide complete systems and network management throughout the enterprise computing environments. Desirable characteristics include Active Directory monitoring, SQL (or equivalent) database monitoring, and detailed and flexible reporting mechanisms.
- Network Management applications should be deployed and integrated to support network management requirements including the hub/switch management and network router. All equipment should be SNMP compliant, and in a Windows environment, WMI compliant. Tools should monitor across VLANs, WANs, and disparate network architectures. Tools should monitor wireless whenever possible. Both IPv4/IPv6 are preferred. Tools should contain the ability to monitor, report, and block offending IP addresses or infected network segments. QoS ability preferred. To work with network management tools, SSH or SSL is preferred over telnet or html. Traffic monitoring systems should utilize a learning mechanism establishing initial baselines that are time corrected and display anomalous traffic with reasonable swiftness. Rules based equipment should allow for frequent base table updating.
- Desktop Management tools should be deployed and integrated to support workstations, software distribution, desktop inventory control and asset tracking of desktop configurations and installed software (metering). Ghost or equivalent imaging software, patch management (such as WSUS), and detailed and flexible reporting mechanisms are recommended.
- Server Management tools should contain the following capabilities:

  - Should be SNMP-compliant
  - Should include the ability to monitor server health including disk, RAM, and process utilization, and whenever possible, power consumption
  - Should support LDAP whenever possible
- Change Control applications should be utilized to help coordinate the activities (such as software code changes, testing and verification of the changes, and related documentation changes) that need to be performed by various organizations.

For all tools, administrators should consider the following:

- For flexibility, look for site or enterprise licensing
- Agent-less tools are not required, but may be preferred
- Reporting/metrics functionality is preferred and strongly recommended
- Email/Text alerts, virus monitoring should be available for all systems, remote management of network, desktops, servers, preferred (provided software meets the established security standards)

It is recommended that a daily health report contain the following information whenever possible:

- SNMP trap information
- Login reports for both successful and failed attempts (wireless, RADIUS, VPN, etc.)
- Switch/router/hub change logs
- Wireless connections
- Server health (average CPU load, RAM and disk utilization, etc.)
- Active Directory additions/deletions/changes
- Restricted traffic attempts and perceived network anomalies

3.2.4 Audio and Video Teleconferencing

The following is a list of recommended guidelines that will serve as a good starting point for defining video conferencing.

Digital Audio and Video Conferencing Standards

- Must use the TCP/IP network protocol
- Separate VLAN for video
- Standard Definition speed: 384K
- High Definition speed: 768K
- Duplex: Full (512 Units = Half)
- Network speed: 100Mbps (502 Units = 10Mbps)
- Switch and codec: hard-coded speed/duplex
- Video communications must support the H.323 and H.264 SIP multimedia standards
  - H.323 and H.264 standards

  - SIP (must have ability to communicate with H.323 legacy systems)Video conferencing must support H.264 video compression
    Audio conferencing must support G.711 audio compression
- ISDN capability for external connections should adhere to the following standard – H.232/H320 Gateways
- Low Resolution: Based on communications availability. H.323 standard should use a minimum of 256Kbps bandwidth per concurrent video session.
- High Resolution: Minimum of 786kb bandwidth per concurrent video session.
- QoS tag: DSCP AF41
- Ports: 1719, 1720, 3230-3253 TCP/UDP*

*PLEASE NOTE – Polycom systems use random port generation while making & receiving video calls. It is recommended that your system be open to port traffic to avoid video signaling problems.

Any endpoint or MCU transversing the internet should be considered best effort with regards to connection, signal quality, and audio/video clarity.

3.2.5 Court Reporting Technologies

Court Reporting Standards shall comply with Criminal Justice Information Services (CJIS) Security Policy under the U.S. Department of Justice, Federal bureau of Investigation where applicable.

References:
Technical and Functional Standards for Digital Court Recording (As of January 2012)

3.2.6 Technical Support

Define skill sets needed to achieve technology objectives and provide support and maintenance. On call is often required to support 24/7 operations

User Support Ratio
Minimum service level expectation in the court environment is to provide initial service within the same day as when the call for assistance was received.

Specialized technical services may require dedicated support staff depending on the environment. Specialized services may include:

a. Network
b. Security
c. Audio Video
d. ADA

e. Communications
    i. Data
    ii. Voice
f. Training
g. Web
    i. Internet
    ii. Intranet
h. Application Development

Other Considerations: Geographic area will impact service levels, and multi-county or large county circuits must consider travel time in service level expectations. Additional staff may be required to meet service level requirements.

Funding for on-going training must be included with staff in order to maintain skill sets required to support the environment.

3.2.7 Courtroom Technology Standards

3.2.7.1 Courtroom – Hearing Room Technology Minimum Requirements

For Criminal proceedings, courtrooms and hearing rooms need to have the infrastructure in place to deliver information and services to the courtroom. Information is vital whether it is information on a computer screen, a juror's ability to hear the witness, or the ability to setup evidence presentation tools. For Civil proceedings, equipment may be used if available; otherwise attorneys are responsible for providing equipment.

It is recommended you post a disclaimer on your website about the technology you provide. An example disclaimer would be similar to the following:

> The Court provides the use of courtroom technology as a courtesy to the legal profession and court participants. The Court will make every effort to ensure the equipment is working properly. However, the Court does not guarantee the reliability of the equipment. The Court is not responsible for the user's own negligence or lack of knowledge in operation of the equipment. The user agrees to hold the Court harmless for any failure of the equipment and any and all claims, damages, actions, causes of action, suits in equity whatever kind of nature as a result of the use of the equipment. The Court advises the users of this equipment that the Court will not be responsible for any delays caused by the failure of the equipment. Users of the equipment should have back-up material suitable for use in the courtroom in the event of equipment failure.

Standards

Infrastructure
When building new courtrooms, design plans shall include conduit and cable paths to support existing and future technology. Raised flooring is recommended for courtrooms to allow for easy access, but floor boxes are also able to support future expansion. See Figure 8 for a typical Courtroom design.

Courtroom Technology shall include the following:

- Sound Reinforcement System / ADA Compliant. Microphone locations should be discussed with Chief Judge to determine if hanging microphones, table top microphones, or if both types are needed in the courtrooms.
- ADA Assisted Listening Devices
- Display Monitor(s)
- 1 Pan/Tilt/Zoom Camera
- Digital Court Recording
- LAN access for Judge and Clerk

Recommended Optional Integrated Equipment:

- Touch Panel Control Pad
- Sidebar Mics (Not amplified, but only available to DCR and/or Court Reporters
- Display Monitors
- Touch Screen Monitors (witness stand for evidence presentation)
- 4 Pan/Tilt/Zoom Cameras (Suggested Camera Options: Judge, Witness, Courtroom, and Evidence/Jury. The evidence camera should be mounted in the ceiling at a location to allow evidence to be placed underneath for presentation.
- Network access / Wi-Fi for participants
- Remote Interpreting A/V equipment
- Video Conferencing
- Teleconferencing
- VHS / DVD Player
- Analog stereo audio, Composite video, S-video, VGA, S/PDIF, Component, and HDMI inputs and/or Wireless media display devices (examples: Crestron Air Media, Apple TV)
- Media Plate
- Remote Technical Support and Control

Hearing Rooms/Chambers:

While sounds systems may not be needed, other equipment is essential. These rooms shall include the following:

- ADA Assisted Listening Devices
- Display Monitor(s)
- 1 Pan/Tilt/Zoom Camera
- Digital Court Recording (Pre-wired if possible)
- LAN access for Judge and Clerk

Recommended Optional Hearing Room/Chamber Equipment:

- Network access / Wi-Fi for participants
- Remote Interpreting A/V equipment
- Video Conferencing
- Teleconferencing
- VHS / DVD Player
- Analog stereo audio, Composite video, S-video, VGA, S/PDIF, Component, and HDMI inputs or Wireless media display devices (examples: Crestron Air Media, Apple TV) for evidence presentation. These inputs can be installed in a floor box or wall plate.
- Remote Technical Support and Control

<u>Optional Mobile Technology</u>
If budgets do not allow for integrated courtroom technology solutions, mobile systems are recommended. Evidence Presentation - Systems should be able to display a wide range of the many forms of physical and digital evidence used in today's courtrooms. An evidence presentation system should include (but is not limited to) the following support components:

- <u>Display:</u>
  Mobile Display (TV/LCD screen) or Projector:
  A mobile display is recommended only for smaller settings and should support 1920 x 1080 native resolution.

  A Projector should support at least 1920 by 1080 native resolution with sufficient brightness for viewing in ambient light (will vary based upon projected image size). + Projector Screen

  System should provide audio/video outputs compatible with Courtroom's integrated video displays/audio/DCR system (if applicable)

- Cables:
  Audio/video presentation systems should support prevailing audio/video transmission cable standards such as:
  Analog stereo audio, Composite video, S-video, VGA, S/PDIF, Component, HDMI

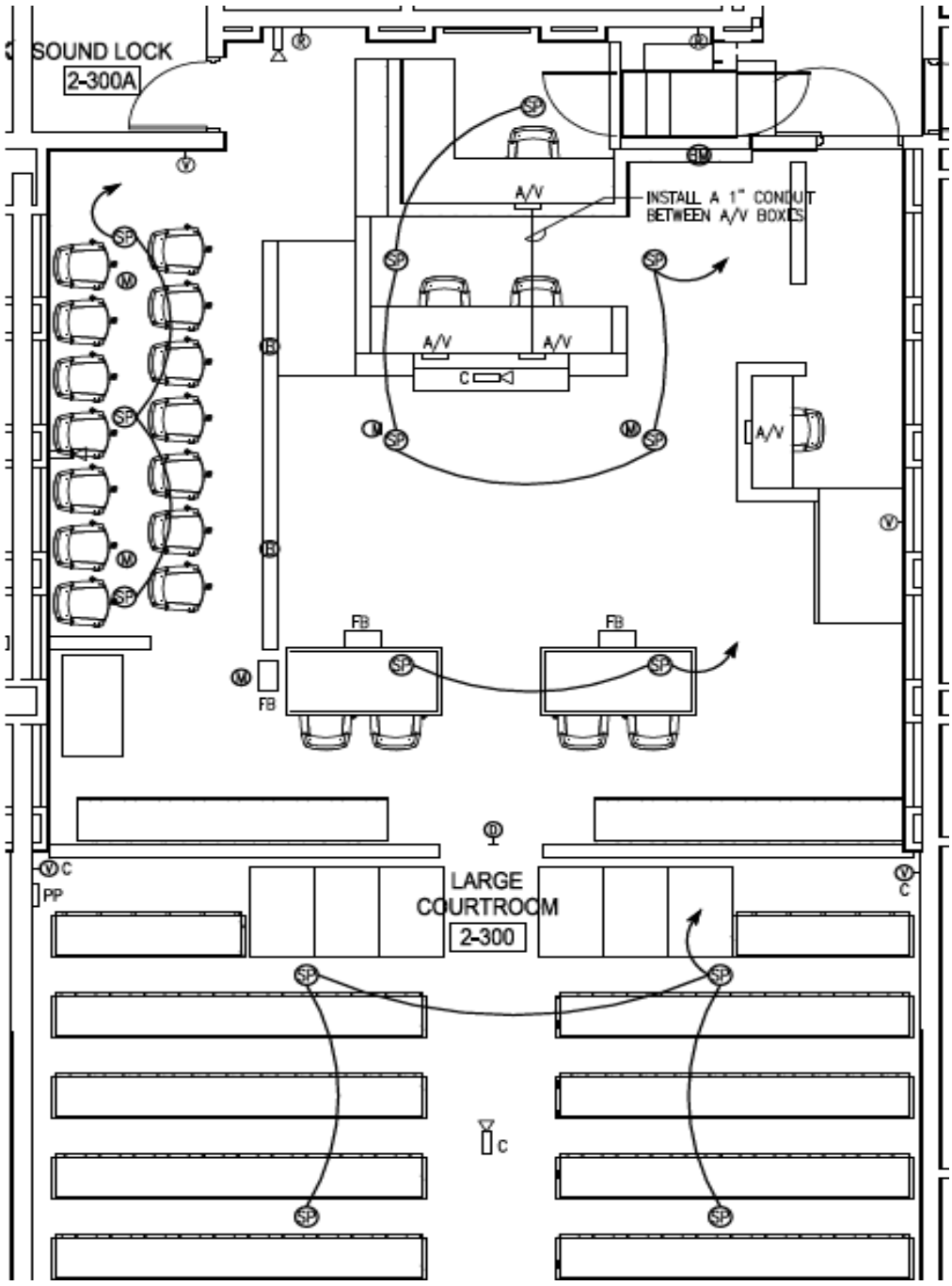
- Physical Media:
  Audio/video presentation systems should support prevailing physical media standards such as: CD (R/RW), DVD (+-R/RW), VHS tape, USB storage device (flash or HD), CompactFlash, SD/Smartmedia, Memory Stick

- Digital audio/video standards:
  Audio/video presentation systems should support prevailing digital audio/video standards such as: Audio CD, DVD, VCD, SVCD, WMV, Quicktime, Mpeg4, MP3, OGG,

- Overhead Projector

- Document Camera

Figure 8. Courtroom Drawing



AV INFRASTRUCTURE LEGEND:

PP — PRESS PLATE LOCATION. CONTRACTOR SHALL INSTALL A 8"x8"x3" DEEP JUNCTION BOX FLUSH IN WALL AT 18" AFF. INSTALL TWO 2" CONDUIT FROM THE PLATE TO THE CABLE TRAY ON THE 1ST LEVEL.

FB — FLOOR BOX/POCKET; INSTALL AN ACE BACKSTAGE 124SL FLOOR POCKET OR APPROVED EQUAL. THE FLOOR POCKET SHALL BE ABLE TO CONTAIN A MINIMUM OF 4 A/V GANGS, 1 DUPLEX RECEPTACLE, 2 RJ-45 CONNECTORS, AND TWO SPARE SINGLE GANG PLATES. EACH POCKET SHALL HAVE TWO 2" CONDUITS FOR FUTURE A/V CABLING AND ONE 1" CONDUIT SPARE. THESE CONDUITS SHALL BE INSTALLED TO THE CABLE TRAY ON THE 1ST LEVEL. A SEPARATE CONDUIT SHALL BE INSTALLED FOR THE DUPLEX RECEPTACLE AND A SEPARATE CONDUIT FOR THE RJ-45 CONNECTIONS. REFER TO THE TELECOM AND POWER PLANS FOR INFORMATION ON THESE SYSTEMS.

(SP) — CEILING SPEAKER LOCATION; LOCATION IS APPROXIMATE AND SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO ROUGHING IN; A JUNCTION BOX SHALL BE INSTALLED AT EACH LOCATION. INSTALL A 3/4" CONDUIT FROM THE SPEAKER TO THE OTHER SPEAKERS ON THE SAME ZONE. THE HOMERUN CONDUIT FOR EACH ZONE SHALL BE INSTALLED TO THE CABLE TRAY ON THE 1ST LEVEL.

(M) — CEILING HANGING MICROPHONE LOCATION; LOCATION IS APPROXIMATE AND SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO ROUGHING IN; A JUNCTION BOX SHALL BE INSTALLED AT EACH LOCATION. INSTALL A 3/4" CONDUIT FROM THE MICROPHONE TO THE CABLE TRAY ON THE 1ST LEVEL.

(B) — BUTTON MICROPHONE LOCATION; LOCATION IN CASEWORK IS APPROXIMATE AND SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO ROUGHING IN; A STUB UP 3/4" CONDUIT SHALL BE INSTALLED IN THE CASEWORK. THE CONDUIT SHALL BE ROUTED TO THE CABLE TRAY ON THE 1ST LEVEL.

(SM) — SIDEBAR BUTTON MICROPHONE LOCATION; LOCATION IN CASEWORK IS APPROXIMATE AND SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO ROUGHING IN; A STUB UP 3/4" CONDUIT SHALL BE INSTALLED IN THE CASEWORK. THE CONDUIT SHALL BE ROUTED TO THE CABLE TRAY ON THE 1ST LEVEL.

A/V — A/V PLATE LOCATION; INSTALL A 12" WIDE x 6" TALL x 3" DEEP JUNCTION BOX FLUSH IN CASEWORK. JUNCTION BOX SHALL BE LOCATED 18" ABOVE THE BOTTOM OF THE CASEWORK. INSTALL TWO 2" CONDUITS AND ONE 1" CONDUIT FROM THE JUNCTION BOX TO THE CABLE TRAY ON THE 1ST LEVEL.

A/V CAMERA LOCATION; INSTALL A JUNCTION BOX FLUSH IN THE WALL AT EACH LOCATION. INSTALL A 3/4" CONDUIT FROM THE JUNCTION BOX TO THE CABLE TRAY ON THE 1ST LEVEL. MOUNTING HEIGHT SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO INSTALL.

C — A/V CAMERA LOCATION; INSTALL A JUNCTION BOX FLUSH IN THE CEILING AT EACH LOCATION. INSTALL A 3/4" CONDUIT FROM THE JUNCTION BOX TO THE CABLE TRAY ON THE 1ST LEVEL. MOUNTING HEIGHT SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO INSTALL.

(V)H — TV LOCATION; INSTALL A JUNCTION BOX FLUSH IN THE WALL AT EACH LOCATION. INSTALL A 3/4" CONDUIT FROM THE JUNCTION BOX TO THE CABLE TRAY ON THE 1ST LEVEL. MOUNTING HEIGHT SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO INSTALL.

(V)H C — TV LOCATION; INSTALL A JUNCTION BOX FLUSH IN THE CEILING AT EACH LOCATION. INSTALL A 3/4" CONDUIT FROM THE JUNCTION BOX TO THE CABLE TRAY ON THE 1ST LEVEL. EXACT LOCATION SHALL BE COORDINATED WITH THE A/V CONTRACTOR PRIOR TO INSTALL.

(D)H — DCR LIGHT LOCATION; INSTALL A JUNCTION BOX FLUSH IN THE WALL 12" ABOVE THE BOTTOM. INSTALL A 3/4" CONDUIT TO THE CABLE TRAY ON THE 1ST LEVEL.

(R)H — HEARING IMPAIRED IR LOCATION; INSTALL A JUNCTION BOX FLUSH IN THE WALL AT A HEIGHT TO BE DETERMINED BY THE A/V CONTRACTOR. INSTALL A 1" CONDUIT TO THE CABLE TRAY.

3.3 Requirements for Interoperability and Data Exchange Standards

New applications being developed should have web based capabilities for records viewing. Any enhancements or upgrades to existing applications must include support for access through a web

browser for viewing of records. To the extent possible, access to add, change, and delete information should migrate towards web based interfaces. Scanning systems and other applications that directly interface with peripherals are difficult to move to web based applications but are possible.

The technical standards listed below have been developed across all industry sectors and have the joint backing of many companies (such as Microsoft, Oracle, Sybase, IBM, etc.) that have recognized that information exchange and the resulting gains in productivity and efficiency are at the heart of improved system performance.

- Software applications must support the following standards when applicable:
    - Presentation (for Web-based Applications)
        - Standards Compliant XHTML 1.0/HTML 4.01 and later
        - Standards Compliant Cascading Style Sheets 2.1 and later
        - Security - Use industry-proven algorithms, techniques, platform-supplied infrastructure, and vendor-tested and supported technologies.

    - Application
        - Service Oriented Architecture (SOA) should be applied to applications development processes such as Model–View–Controller (MVC). The presentation layer accesses information via a web service.
        - Where possible, code should be executed on the server (server-side code), not the client.
        - eXtensible Markup Language (XML)
        - Simple Object Access Protocol (SOAP)
        - Web Services AND/OR Representational State Transfer (REST) Web Services
        - JSON (Java Script Object Notation)
        - American National Standards Institute Structured Query Language (ANSI SQL)
        - W3C ADA/508 Compliance
        - Open Database Connectivity (ODBC), Java Database Connectivity (JDBC), OLEDB, Database Native Clients
        - Remote Procedure Call (RPC)
        - Security
            - Use industry-proven algorithms, techniques, platform-supplied infrastructure, and vendor-tested and supported technologies.
            - Application should handle errors at each layer and should be converted into a user readable language while displaying on the presentation tier. No sensitive security information (including the component name) should be presented on the User Interface.

- Storage
  - American National Standards Institute Structured Query Language (ANSI SQL)
  - Security - Use industry-proven algorithms, techniques, platform-supplied infrastructure, and vendor-tested and supported technologies.

3.3.1 Data Exchange Standards

There are many methods for data exchange. For the majority of exchanges, Extensible Markup Language (XML) should be explored as the primary method for information exchange within an integrated judicial system. eXtensible Markup Language (XML) defines a standard format that allows document content to be stored, exchanged, displayed, and processed. Data is described in terms of meaningful pieces of information (title, author, date of preparation, order number, address etc.) that can be used across applications and computer systems for many different purposes. The most notable and widely adopted work in the development of XML standards is the World Wide Web Consortium (W3C), which has the objective of building open (non-proprietary) technology. The courts also recognize the ECF 4.0 standards for XML standards in the judicial/legal environment.

There are three popular trends which should be used as a basis for building new standards unique to the judicial environment.

- The use of XML schemas to reflect the definition of data types.
- The use of emerging XML protocols for defining the envelope for interchange.
- The use of web services as a model for integrating systems.

3.3.1.1 Principles and Procedures for Development of XML Specifications for Integrated Judicial Systems

The diverse requirements of data exchange using XML technologies between the key entities such as Clerks, State Attorneys, Public Defenders, and Sheriffs; as well as key agencies such as FDLE, Highway Safety, and Department of Corrections can be accomplished using these standards. The recommended principles and procedures for development of XML specifications for the judicial application are included below.

Principles

- Any XML specification developed should be guided by the principles put forth by the World Wide Web Consortium (W3C).
- OASIS LegalXML ECF 4.x, U.S. Department of Justice Office of Justice Program's Global Justice XML Data Model (Global JXDM) an National Information Exchange Model (NIEM) should be implemented as appropriate.
- XML specifications shall be over-inclusive by specifying those elements that may be required by fewer than all participants and making those elements optional.

- Native protocols (SQL) are more efficient and will require less overhead when implemented, however, may not be appropriate when crossing security boundaries.
- It is the responsibility of each judicial/county/circuit location to ensure that all system-specific features are removed prior to transmission to another group.
- Wherever possible, previously developed standards and specifications should be adopted or extended.
- XML specifications shall be broad enough to accommodate jurisdictional differences.
- When operational requirements dictate differences in specificity, mapping from the more specific elements to the less specific elements shall be made available.
- Data elements may contain other elements and may even be recursive.
- Certain complex elements are sufficiently independent and driven by group business rules such that they cannot be used by more than one organization. In such cases, the shareable simple elements contained within the complex element are defined.
- For every element, a default minimum attribute set will be available for use. These attribute(s) will, for the most part, be optional.
- Generic tag names within complex elements are preferred when the data is clearly the same entity (e.g., <*state*> may be used to refer to both the state of the postal address and the state of vehicle registration). Generic tag names should be avoided when the meaning is ambiguous (e.g., <*number*> should not be used to represent both a phone number and an operator license number; explicit tag names should be used).

Procedures

The process and procedures to be used by the courts to achieve success in bringing the aforementioned specifications closer to interoperability are:

- Identify each participant's requirements and goals. Ensure all participants have at least a moderate understanding of each other's needs.
- Identify similar information being shared by participants, and the differences and similarities between tag names.
- Identify and resolve non-substantive differences (e.g., tag capitalization, naming conventions).
- Identify and resolve those substantive differences that can be resolved quickly. (e.g., tag names for person name elements).
- Identify those substantive differences that are difficult to resolve. Where possible, resolve them. Where resolution is not possible, usually due to differing requirements, ensure that there is no tag-name overlap and document the differences.
- Develop a plan for problem resolution and implementation (with tasks, goals, and objectives) to be accomplished over a defined schedule.

3.3.1.2 Data Transmission

Protocols for transmission, between distinct entities, of data governed by this document must be generally available, nonproprietary, and protected by the most secure methods reasonably

available to all participants. Each repository of data shall provide its data in accordance with this document and such other standards as may be adopted under the authority of the supreme court.

3.3.2 Database Standards

Database connectivity to some databases may not be possible due to database driver restrictions or network restrictions at the location. For each participating agency/entity, a plan should be cooperatively developed on how to connect to, access, and format the data maintained in the particular database source. These databases should be:

- Relational
- ANSI SQL
- Package ODBC and/or JDBC drivers with the database platform
- Secured - Use industry-proven algorithms, techniques, platform-supplied infrastructure, and vendor-tested and supported technologies.
- Backed up and have transaction logs running for recovery to point in time failures.
- Have a tested recovery plan.

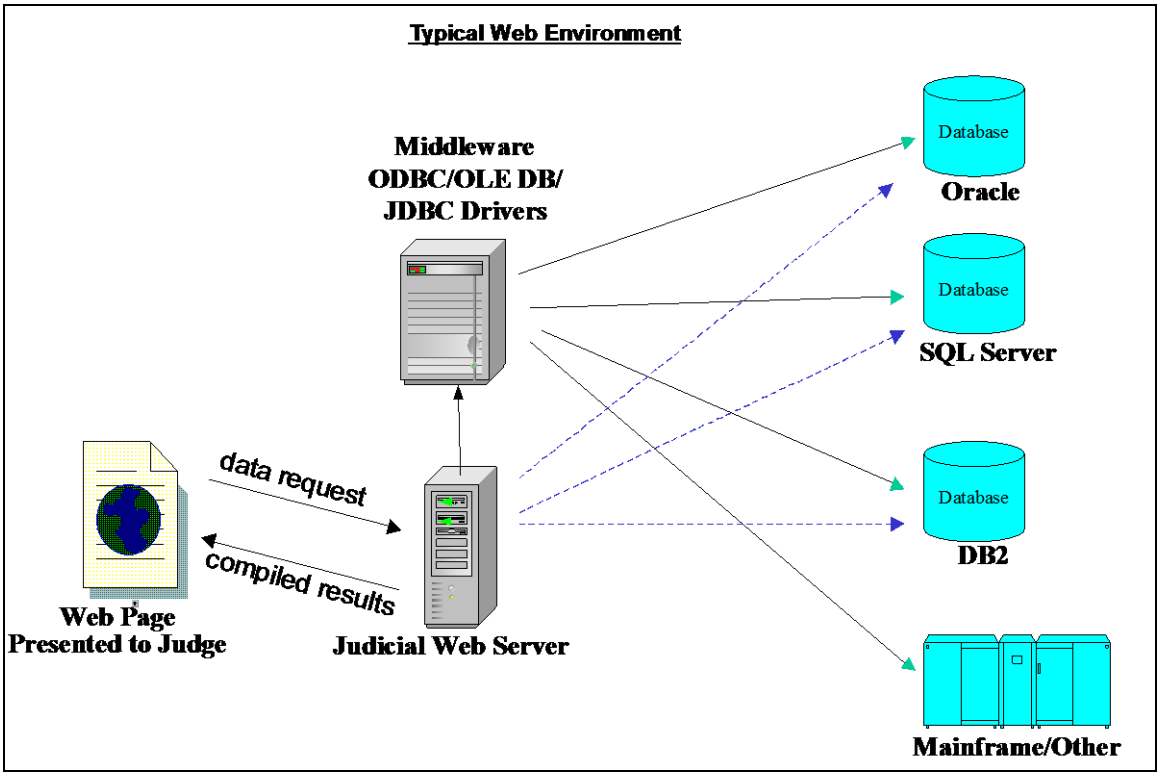
3.3.3 Database Connectivity

A detailed system architecture should be defined that will meet the business requirements of the judicial application. The system architecture should describe the structure and organization of the information systems supporting specific circuit/county/judicial location functions, and provide the technical system specifications based on the functional requirements. It should describe the complete set of system and network infrastructure components that are installed or planned for installation. It should also include an approach to information sharing (database connectivity) and workflow coordination between business functions, external sources, and users of business information. Also, the architecture should define recommended drivers/middleware once the database and application development software for the system are finalized.

The communication technologies (database drivers) needed to allow transmittal and sharing of access to and utilization of information for various databases in the circuits may include:

- Open Database Connectivity (ODBC)
- Object Linking and Embedding (OLE DB) and/or
- Java Database Connectivity (JDBC)

Figure 9. Conceptual Data Exchange Environment



3.3.4 Archival Storage of Electronic Documents

Electronic document image systems must accommodate the need to archive electronic images in a manner that will guarantee high fidelity rendering of that image in the present system as well as into the future as systems and technology change. Archival storage requirements of electronic media may range for 1 to 10 years, and each system must consider and address the challenges of delivering images seamlessly, without loss of fidelity, as changes occur over time. Archival storage formats used must be able to meet long term rendering requirements as well has have a method to meet ADA requirements/accommodations. A standard specifically developed for long term archival purposes is PDF/A. Where possible PDF/A is strongly encouraged. Other archival formats may also be used as long as they meet the fidelity and ADA requirements.

To address these issues, the PDF/A document format was created by the Association for Suppliers of Printing, Publishing and Converting Technologies and the Association for Information and Image Management, and ratified by the International Standards Organization as standard ISO 19005. PDF/A is a restricted version of the popular PDF file format that helps ensure long-term retrieval.

Numerous agencies and institutions, including the U.S. Federal Court, are adopting PDF/A as their primary method of electronic document storage—see http://www.pdfa.org/2011/06/recommendations-for-pdfa/ for an updated list.

3.3.5 Access to Court Data and Documents

The clerk shall provide to the court access to local data and local document images. Access to data and document images can be accomplished directly via the local document image store, a live replica of same, or a local web service. The chief judge and clerk of court of the respective county shall determine the development and maintenance specifications necessary to provide the requested data and document images. Costs associated with hardware, software, or creating the replicated database and maintenance specifications and the responsibility for payment of such costs shall be determined upon mutual agreement by the chief judge and the clerk.

3.4 Cloud Computing

Cloud computing has the potential to greatly reduce waste, increase data center efficiency and utilization rates, and lower operating costs. Using the power of technology to improve performance and lower the cost of government operations. Cloud computing is an approach to delivering IT services that promises to be highly agile and lower costs, especially up-front costs. This approach not only impacts the way computing is used, but also the technology and processes that are used to construct and manage IT within enterprises and service providers. Technologies like cloud computing and virtualization are rapidly being adopted by enterprise IT managers to better deliver services to their customers, lower IT costs and improve operational efficiencies. Cloud computing is primarily a business decision of operating expense vs. capital expense.

3.4.1 Definition of Cloud Computing

As defined by the National Institute of Standards and Technology (NIST)[1], cloud computing is a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction. This cloud model promotes availability and is composed of essential characteristics, deployment models, and various service models. Cloud e-mail providers should be FISMA certified.

Title 44 of the United States Code:

Federal Information Security Management Act Certification ("**FISMA**", 44 U.S.C. § 3541, *et seq.*)**: FISMA** is a United States federal law enacted in 2002 as Title III of the E-Government Act of 2002 (Pub.L. 107-347, 116 Stat. 2899). The act recognized the importance of information security to the economic and national security interests of the United States. The act requires each federal agency to develop, document, and implement an agency-wide program to provide

[1] http://csrc.nist.gov/groups/SNS/cloud-computing/.

information security for the information and information systems that support the operations and assets of the agency, including those provided or managed by another agency, contractor, or other source.

3.4.2 Characteristics of the Cloud

- ***On-demand self-service***. A consumer can unilaterally provision computing capabilities, such as server time and network storage, as needed automatically without requiring human interaction with each service provider.
- ***Broad network access***. Capabilities are available over the network and accessed through standard mechanisms that promote use by heterogeneous thin or thick client platforms (e.g., mobile phones, laptops, and PDAs).
- ***Resource pooling***. The provider's computing resources are pooled to serve multiple consumers using a multi-tenant model, with different physical and virtual resources dynamically assigned and reassigned according to consumer demand. There is a sense of location independence in that the customer generally has no control or knowledge over the exact location of the provided resources but may be able to specify location at a higher level of abstraction (e.g., country, state, or datacenter). Examples of resources include storage, processing, memory, network bandwidth, and virtual machines.
- ***Rapid elasticity***. Capabilities can be rapidly and elastically provisioned, in some cases automatically, to quickly scale up and rapidly released to quickly scale down. To the consumer, the capabilities available for provisioning often appear to be unlimited and can be purchased in any quantity at any time.
- ***Measured Service***. Cloud systems automatically control and optimize resource use by leveraging a metering capability at some level of abstraction appropriate to the type of service (e.g., storage, processing, bandwidth, and active user accounts). Resource usage can be monitored, controlled, and reported providing transparency for both the provider and consumer of the utilized service.

3.4.3 Deployment Models

- ***Private cloud***. The cloud infrastructure is operated solely for one organization. It may be managed by the organization or a third party and may exist on or off premises.
- ***Community cloud***. The cloud infrastructure is shared by several organizations and supports a specific community that has shared concerns (e.g., mission, security requirements, policy, and compliance considerations). It may be managed by the organization or a third party and may exist on or off premises.
- ***Public cloud***. The cloud infrastructure is made available to the general public or a large industry group and is owned by an organization selling cloud services. Any selected public cloud computing solution shall be configured, deployed, and managed to meet the judicial branch's security, privacy, and other requirements. Court data must be protected in a manner consistent with judicial branch's policies.

- ***Hybrid cloud***. The cloud infrastructure is a composition of two or more clouds (private, community, or public) that remain unique entities but are bound together by standardized or proprietary technology that enables data and application portability (e.g., cloud bursting for load-balancing between clouds).

3.4.4 Service Models

- ***Cloud Software as a Service (SaaS)***. Provides the consumer the ability to use the provider's applications running on a cloud infrastructure. The applications are accessible from various client devices through a thin client interface such as a web browser (e.g., web-based e-mail). Its main purpose is to reduce the total cost of hardware and software development, maintenance, and operations. The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, storage, or even individual application capabilities, with the possible exception of limited user-specific application configuration settings.
- ***Cloud Platform as a Service (PaaS)***. Provides the consumer the ability to deploy onto the cloud infrastructure consumer-created or acquired applications created using programming languages and tools supported by the provider. Its main purpose is to reduce the cost and complexity of purchasing, housing, and managing the underlying hardware and software components of the platform. The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, or storage, but has control over the deployed applications and possibly application hosting environment configurations.
- ***Cloud Infrastructure as a Service (IaaS)***. Provides the consumer the ability to provision processing, storage, networks, and other fundamental computing resources where the consumer is able to deploy and run arbitrary software, which can include operating systems and applications. Its main purpose is to avoid purchasing, housing, and managing the basic hardware and software infrastructure components, and instead obtain those resources as virtualized objects controllable via a service interface. The consumer does not manage or control the underlying cloud infrastructure but has control over operating systems, storage, deployed applications, and possibly limited control of select networking components (e.g., host firewalls).

3.4.5 Data Protection

Data must be kept secure while at rest, in transit, and in use. Access controls shall be in place to keep data away from unauthorized users.

Data must be sanitized when a storage device is removed from service or moved elsewhere to be stored. Data sanitization also applies to backup copies made for recovery and restoration of service, and also residual data remaining upon termination of service.

3.4.6 Service Level Agreement (SLA)

A SLA between the Court and the cloud provider shall detail the expected level of service to be delivered, such as licensing of services, criteria for acceptable use, service suspension and termination, limitations on liability, privacy policy, and modifications to the terms of service.

3.4.7 Standards Development

As we move to the cloud, we must be vigilant in our efforts to ensure the standards are in place for a cloud computing environment. As part of the Federal Cloud Computing Initiative, the National Institute of Standards and Technology (NIST)[2] is leading and facilitating the development of cloud computing standards which respond to high priority security, interoperability, and portability requirements.

Current cloud computing standards development activities, conducted by the NIST Information Technology Laboratory (ITL), include:

- **Special Publications:** In 2009, NIST made the widely adopted and referenced NIST Definition of Cloud Computing publicly available. NIST is in the process of developing a series of Special Publications (SP) related to cloud computing.

- **Standards Acceleration to Jumpstart Adoption of Cloud Computing (SAJACC):** The SAJAAC goal is to facilitate the development of cloud computing standards. SAJACC will include a publicly accessible NIST hosted portal which facilitates the exchange of verifiable information regarding the extent to which pre-standard candidate interface specifications satisfy key cloud computing requirements. The expectation is that SAJACC will help to accelerate the development of cloud computing standards and, as a bi-product of its information dissemination function, increase the level of confidence to enable cloud computing adoption.

- **Federal Risk and Authorization Management Program (FedRAMP):** NIST's role is to support the definition of a consistent technical process that will be used by FedRAMP to assess the security posture of specific cloud service implementations. NIST serves as a technical advisor for the FedRAMP process that will be implemented by the Federal CIO Council.

[2] National Institute of Standards and Technology, "Summary of NIST Cloud Computing Standards Development Efforts" (government document, 2010).

Appendix

Benefits of Cloud Computing

There was a time when every household, town, farm or village had its own water well. Today, shared public utilities give us access to clean water by simply turning on the tap; cloud computing works in a similar fashion. Just like the water from the tap in our kitchen, cloud computing services can be turned on or off quickly as needed. Like at the water company, there is a team of dedicated professionals making sure the service provided is safe and available on a 24/7 basis. Best of all, in addition to saving water when the tap is not on, we are saving money by not paying for resources we do not currently need.

- ***Economical***. Cloud computing is a pay-as-you-go approach to IT, in which a low initial investment is required at the onset. Additional investment is incurred as system use increases and costs can decrease if usage decreases. In this way, cash flow is equivalent to total system cost.
- ***Flexible***. IT departments that anticipate fluctuations in user load do not have to scramble to secure additional hardware and software. With cloud computing, they can add and subtract capacity as network load dictates, and pay only for what is used.
- ***Rapid Implementation***. Without the need to go through the procurement and certification processes, and with a near-limitless selection of services, tools, and features, cloud computing helps projects commence in record time.
- ***Consistent Service***. Network outages can send an IT department scrambling for answers. Cloud computing can offer a higher level of service and reliability, and an immediate response to emergency situations.
- ***Increased Effectiveness***. Cloud computing frees the user from the finer details of IT system configuration and maintenance, enabling them to spend more time on mission-critical tasks and less time on IT operations and maintenance.
- ***Energy Efficient***. Because resources are pooled, each user community does not need to have its own dedicated IT infrastructure. Several groups can share computing resources, leading to higher utilization rates, fewer servers, and less energy consumption.
- ***Price transparency will drive email costs down*.** One of the major benefits of cloud-based email is that the costs become extremely public and visible. Google has already set a price floor and Microsoft has undercut its channel. This cost transparency will elevate the competition on price which will drive costs down.
- ***Cloud delivery will increase the value and pervasiveness of email*.** In a surprising and counterintuitive effect, we believe that cloud delivery will make email the go-to tool for even more situations than today. Consider if our email is available from any device, anywhere, anytime, then why wouldn't we use it? Especially if the alternatives of accessing a wiki or firing up an instant messaging client are not available so conveniently.

- ***Cloud delivery will help make mobile email ubiquitous among information workers*.** It is clear why today only mobile executives get BlackBerry or Windows Mobile devices. Mobile email is expensive. It cost approximately $10 per user per month for BlackBerry device support. With the increase in competition from Microsoft, Google, Cisco, and innovative providers like Synchronica, this cost will inevitably decrease and make it possible to deliver basic mobile email to the masses at a much lower cost.

Utilizing Cloud

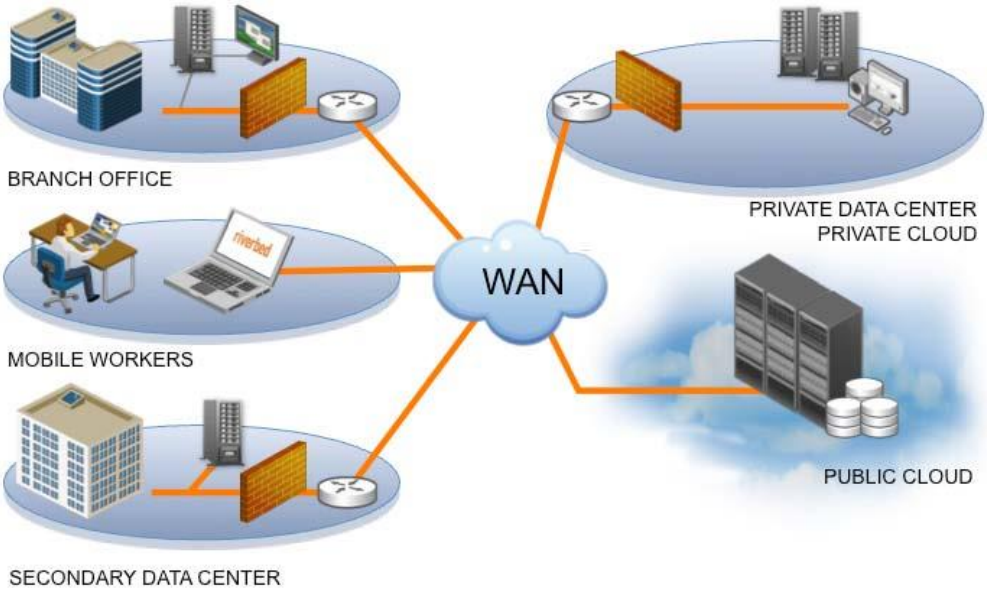
"The cloud" is not another industry buzz word, but a broad category which will drive the next phase of the Courts projects. For IT and business managers already inundated with information about the promise of a cloud centric infrastructure, the question is not whether to use the cloud, but how. Public cloud environments are not as well known, therefore, it is difficult to infer the impact of moving particular applications to the public cloud without actually testing.

Understand your own environment.
In addition to knowing what applications the Courts would like to move to the cloud, IT managers need a deep understanding of how applications perform across the WAN today, as well as which users are most dependent on particular applications. IT managers need to proactively aggregate information based on geography, applications, and individual users. They have to be ready to quickly assess, discover, and eliminate network-related problems in order to support consolidated cloud environments. Ideally managers should be equipped to aggregate this information without requiring more distributed hardware that goes against the grain of consolidation initiatives.

Optimize what you already have and expect the same performance from a cloud provider.
Courts already use WAN optimization either across their organization and/or in key locations in order to accelerate end-user computing and collaboration, disaster recovery operations, and cut bandwidth needs. Organizations now need to leverage WAN optimization across the board to prepare all business locations for a more distributed world. At the same time Courts considers cloud service providers and WAN optimization solutions, it is imperative to confirm that the two map to each other. Your WAN optimization provider should have a form-factor (usually a virtual appliance) that will easily slot into a public cloud computing environment or a private cloud implementation. Furthermore, your cloud service provider should be one who embraces the fact that performance-enhancing products like WAN optimization are necessary to make their cloud worthy of production use in enterprises.

Consolidate to the core and at the edge.
Make certain you have a good plan to discover all of the applications and servers in your environment and which ones can effectively be consolidated today. Such a plan will allow you to quickly map the applications or services that could potentially be moved to a public cloud, as well as which services must remain distributed. Use branch-office in-a-box technologies for services that must remain distributed. These technologies extend many cloud benefits, such as simplified

management and virtualization all the way to the edge of your network enabling you to drive cost efficiency from the core to the edge of your IT operations.



Appendix I – Functional Requirements Document for Court Application Processing System

The Florida Courts Technology Commission
Trial Court Integrated Management Solution Committee

Functional Requirements Document

For Court Application Processing System

The Florida Courts Technology Commission (FCTC), upon motion of its Trial Court Integrated Management Solution (TIMS) Committee, adopts this Functional Requirements Document (FRD) to provide specifications for Court Application Processing Systems (CAPS) to coordinate the use of information technology and electronic case files, in court and in chambers, by trial court judges and staff. In addition to the functional requirements set forth in this document, systems must comply with the current version of the Florida Supreme Court standards for Electronic Access to the Courts adopted by the Florida Courts Technology Commission under the Authority of Florida Supreme Court Administrative Order AOSC09-30.

§1. AUTHORITY

1.1. Historical Directive. Administrative Order SC03-16 required that a court or clerk developing data systems or software to adhere to the applicable Functional Requirements Document as well as Technical Standards and the Strategic Plan. It further directed that the specifications of any proposed system, whether vendor created or internally created, must be submitted to the FCTC to ensure that the system would meet the three sets of requirements. The Administrative Order established standardization within circuits as a high priority. It governed the judicial branch's coordination of technology until

the adoption of Rule 2.236 took its place, and was rescinded in 2010 by Administrative Order AOSC10-59.

1.2. Current Authority. Rule 2.236, Florida Rules of Judicial Administration, created the FCTC in its current form and defines its responsibility and authority. Rule 2.236(b)(5) authorizes the FCTC to establish technical standards for technology to be used in the judicial branch, and while FCTC performs the bulk of that activity through its technical standards committee, it also sets some technical standards related to the CAPS through the TIMS committee. Subsections (b)(6) and (7) of Rule 2.236 specifically authorize FCTC to create procedures for courts to apply for approval of new systems or modification of existing systems, and to evaluate such applications to determine compliance.

§2. APPLICABILITY

2.1. Certification Required. Any system meeting the definition of CAPS in this section must be certified under section 3 below before being deployed, renewed, or substantially modified. Each circuit determines which certified system best meets its needs. The Chief Judge's approval shall be required prior to the purchasing or upgrading of any system.

(a) Certification may only be granted when a product or combination of products meets or exceeds the functional standards specified in this document, unless excluded.

(b) The system shall meet the general criteria of §4 and perform each of the following functions, as specified in the sections cited and be accessible in a seamless program via a single log on:

(i) Calendar (§5);

(ii) Search (§6);

(iii) Case Management and Reporting (§7);

(iv) Orders (§8);

(v) Case Notes (§9); and

(vi) Help (§10).

2.2. CAPS Definition. CAPS is defined as a computer application designed for in-court and in-chambers use by trial judges or their staff to access and use electronic case files and other data sources in the course of managing cases, scheduling and conducting hearings, adjudicating disputed issues, and recording and reporting judicial activity.

2.3. Exclusion for Clerk's Responsibilities. The FCTC recognizes that existing law establishes the clerks as the official custodians of court records. Systems built and maintained by clerks of court and limited to their historical functions are excluded from this definition. Specifically, general purpose files, indexes, or document viewers made available by the clerk to users other than the judiciary and in-court participants are not subject to the functional requirements of this document, although they remain subject to all other FCTC policies and requirements, including but not limited to the Integration and Operability standards and all other requirements set forth by the Supreme Court. This standard does require the clerks of court to make their official court files available to the CAPS in read-only fashion in real time or from a replication delayed no more than five minutes from real time.

§3. CERTIFICATION

3.1. Vendor Product Certification. A product offered by a single commercial vendor must be certified by FCTC under this section before the vendor may sell or otherwise deploy a new installation, or renew a contract for an existing installation, as meeting the §2.2 definition of CAPS above. When a vendor obtains certification for a product, the State Courts Administrator is authorized to enter into such agreements as she deems advisable to facilitate transactions between such vendor and any trial court unit that chooses to purchase the certified product.

3.2. General System Certification. Any CAPS product or system that is not subject to the vendor product certification section requires general system certification before a new installation or deployment. General system certification can be granted for:

(a) Internally developed systems that comply with the functional requirements of this document; or

(b) Aggregated systems, consisting of components which individually may not meet the functional requirements but taken together do satisfy the requirements.

3.3. Provisional Certification. Provisional certification is for six months and may be renewed at the discretion of FCTC. It may be granted for:

(a) Partial systems or subsystems that meet only a part of the standards when a plan for attaining certification within a reasonable time has been approved by FCTC;

(b) Systems that lack specific data reporting requirements because the local clerk's office does not maintain that data and it is not otherwise reasonably available from machine-readable sources; or

(c) Any other partially compliant subsystem. Approval will be on a case by case basis pursuant to the procedures set forth in §3.5.

3.4. Existing Installations. An existing system requires certification upon the earliest of the following events:

(a) Substantial modification of the system; or

(b) Expiration of the contracts under which any vendor provides the system or a subsystem.

3.5. Certification Process. The certifying entity is the Florida Courts Technology Commission. The FCTC delegates its authority to make initial certification determinations to the State Courts Administrator.

(a) Application. An entity seeking certification shall file an application with the Office of State Courts Administrator in such form and location as the Administrator may require.

(b) Administrative Decision. The State Courts Administrator shall issue certification, or a notice that certification has been denied, within a reasonable time. Unless an interested party files a written application for review within thirty days of the Administrator's decision, that decision will constitute the final decision of FCTC.

(c) Review and Final Action. Review of any disputed certification decision by the administrator is conducted by a subcommittee of the FCTC appointed by its Chair for that purpose. The committee's decision shall constitute final action unless, within 30 days of its rendition, the FCTC adopts a resolution accepting review of the certification decision.

§4. SYSTEM DESIGN AND PERFORMANCE STANDARDS

4.1. Performance. The system must meet or exceed the efficiencies delivered by conventional paper systems or previous electronic systems.

4.2. Robustness. The system must be engineered so that it does not break down upon foreseeable peaks of usage, user error, data corruption, or other stress.

4.3. Compatibility. The system must be adaptable at reasonable cost to be compatible and interoperable with any of the clerk's systems being used in the state. It must use, to the extent feasible, industry standard document formats and transmission protocols, and avoid all use of proprietary formats, data structures, or protocols.

4.4. Adaptability. The system must be designed in a way that anticipates obsolescence of hardware and software, and is upgradeable and modifiable as new technologies become available or statutes, rules, or court procedures change. In particular, the system must be able to accommodate, at reasonable expense, additional data elements for specific divisions of court as adopted by the FCTC in its ongoing TIMS project.

4.5. Accessibility and Security. The system must prevent access by unauthorized persons and facilitate access by authorized persons according to a defined set of user permission levels. The system must be usable by judges, and also by judicial assistants, clerks, and case managers as the judge may direct.

(a) Security. The system must comply with industry standard security methods, including encryption and authentication protocols, in order to protect access to the application and associated data.

(b) User Permission Levels.

(i) System-assigned User Permission Levels. The system shall provide the system administrator with the ability to configure user permissions to restrict access to the application, sub-applications (functions), and case data (as needed to comply with statutory restrictions on access to case data).

(ii) The system shall provide a means for a judge to manage which other authenticated individual users or judge-defined user groups may view or change case-related information he originates, such as notes, document annotations, contents of work folders, case management information, and personal and system calendar entries.

(c) Password Protection. The system must authenticate users and their permission levels based on username and password, providing access to all functional modules using the same credentials.

(d) Electronic Signatures. The system must ensure that encrypted electronic signatures may be applied to orders only by the authenticated user.

(e) Remote Access. The system must be accessible remotely via web by judges and other personnel having appropriate permission levels.

(f) Persons With Disabilities. The system must comply with Section 508 of the Rehabilitation Act of 1973 (as amended), which lists standards necessary to make electronic and information technology accessible to persons with disabilities.

4.6. External Data Access. The system must employ read-only access to the database(s) of the clerk(s) in the circuit to avoid any unnecessary re-keying of data by court personnel. It must be able to retrieve basic case information, any scheduling or calendaring information the clerk may maintain, the clerk's

progress docket, and the set of electronic documents that constitute the official court file.

4.7. Global Navigation. Each top-level module of §2.1(b) shall be accessible from any non-modal screen in the application by clicking once on a global navigation menu.

4.8. Hardware Independence. The system must be reasonably hardware independent, and must work with touch screen, mouse or other pointing device, or keyboard entry.

4.9. Printer-Friendliness. All displays of case data or document images shall be printable, using either a screen print function or a developed printer-friendly routine. When a document is being displayed, the court shall have the option to print one or more pages at once.

4.10. Disaster Prevention and Recovery Strategy. The system must use reasonable measures to prevent service interruption and have a plan for continuation of operations if interruption occurs. It must be designed to minimize risk of data loss, including but not limited to secure, regular, and redundant data backup.

4.11. Automated Data Reporting. The system shall electronically report to the Office of the State Courts Administrator, and to the Chief Judge of the relevant Circuit, the information pertaining to each case or case event using protocols and methods as specified in the Integration and Interoperability document Section 3.3 Requirements for Interoperability and Data Exchange Standards.

§5. CALENDARING FUNCTION STANDARDS

5.1. Calendaring System Required. A system must include a planning and calendaring function that permits the court to allocate blocks of future time for specific purposes, that permits the court or authorized other persons to book specific hearings or other events into allocated time, and that displays or prints the schedule for a day, week, or month with appropriate level of detail.

5.2. Planning Flexibility. The system must accommodate docket planning using either time-certain or multiple-case-docket approaches, or such other approach as the court may specify. It must permit the court to specify the capacity of any multiple case docket and displays must be able to show the portion of capacity remaining.

5.3. Calendar Control. The calendaring system must prevent a user from inadvertent double booking a hearing for the same time slot that is not a mass docket or intentionally double booked. It must also prevent booking a multiple case docket in excess of its capacity unless the user deliberately overrides the capacity.

5.4. Replication. The system must permit the court to allocate blocks of time on a recurrent basis (e. g. every other Thursday or every fifth Friday) with minimum data entry. It must also be able to call up a list of cases based on defined criteria and schedule or reschedule all of the cases simultaneously into a new time block.

5.5. External User Access. The system must be capable of displaying allocated time blocks to external users such as attorneys or parties as the judge may direct, and must also provide a means by which the external users can either request to book a hearing into an allocated time block, or automatically and directly book a hearing into an allocated time block, as the judge may direct.

5.6. Direct Access to Calendar Management. The calendar display screens must provide direct access to functions by which a judge, judicial assistant, or case manager can directly and immediately manage the court's calendar with minimal click count, including: set, re-set, continue, or cancel hearings or trials; and add a case to or remove a case from a docket.

5.7. Automatic Notation and Notification. The system shall, as directed by the judge, create immediate automatic e-mail alerts to parties, or paper copies and envelopes to parties without an email address, attorneys, clerks, case managers, court staff, whenever a calendared event is changed on a calendar by a judge, judicial assistant, or case manager. It shall also place a brief entry in the case docket describing the action taken.

5.8. Calendar Display (Internal). The calendaring system shall contain a general purpose calendar viewing function for internal users that displays allocated time blocks, any appointments scheduled within those blocks, and any unallocated time as the user may select.

(a) The displayable fields shall be at least: hearing type; case type; case name; case number; date; time; judge; parties; attorneys; location (court and hearing rooms) and case age.

(b) The fields displayed shall be limited appropriately by the user's permission level. The display must have the ability to sort and filter by any displayed field.

(c) When a specific appointment is listed on the display, clicking on the time and date portion shall call a function that permits editing, canceling, or rescheduling the event without retyping identifying information. Clicking on the case name will bring up a case calendar display (§5.9). There shall also be a control that opens the progress docket (§6.5).

(d) When an allocated but still available time block, or any portion of unallocated time, is listed on the display, clicking on it shall call a function that permits entry of a new matter into that time block.

5.9. Case Calendar Display. The system shall have the ability to list all events (past and future) scheduled in a specific case.

5.10. Daily Event or Reminder. The calendaring function must support the daily reminder function of the case management module (§7.4) by accepting items posted to a specific date without a specified time, for use as a reminder or tickler system.

5.11. Calendar Export. The system must be able to export calendaring information in industry standard formats (e.g., iCalendar and Outlook).

§6. SEARCH AND DISPLAY FUNCTION STANDARDS

6.1. Case Search and Display. The system must be able to retrieve and display basic case information from the clerk's database and from any internal database it maintains. Basic case information includes at a minimum: Case style (parties names, case number, and division of court); type of case; date opened; current status; identities, roles, and contact information of parties and attorneys.

6.2. Case Search Keywords. The system must be able to search for cases by: Case Number, Party name, Party role, Case Filing Date or Date Range, Case Type, or a combination of these fields.

6.3. Lookup Return. The result of a lookup function must return either a list of cases meeting the search criteria, a Basic Case

Information display screen if only one match was found, or a notification that no cases were found.

6.4. A Case Information display must contain at least

(a) Basic Case Information and appropriate subsets of the events scheduled in the case and of the clerk's progress docket.

(b) Controls that call:

(i) the full progress docket;

(ii) display of detailed information including search for related cases on party, attorney, witness, or other participant;

(iii) an email window pre-addressed to all the parties or attorneys in the case;

(iv) a button that opens the scheduling function (and remembers the current case);

(v) a control that opens the list of orders that the system can generate; and

(vi) a search window permitting word search of the searchable electronically filed documents in the case, returning a subset of the progress docket containing the search terms.

(c) Detailed information of a party or other participant consists of: name, aliases, date of birth, role in case, dates when role commenced or ended, charges (for criminal cases), causes of action (for non-criminal cases), other cases, attorney (or for attorney records, client), contact information.

6.5. Clerk's Progress Docket. The clerk's progress docket is a list of the documents in the official court file for the case. It is the most common entry point for display of the contents of the

court file. The court application must display the docket in a useful, user-friendly way.

(a) Each electronically filed document listed on the progress docket must have a link or button that immediately opens the document for viewing. It must be able to retrieve and display the documents without unnecessary delay.

(b) The progress docket must list the documents filed in the case in such a way as to readily distinguish, via icons or color-coding, electronically filed documents from those which have been filed in paper form and not converted.

(c) Orders must similarly be distinguished from motions and from other filings.

(d) There must be a word search function for the progress docket.

6.6. Document Image Display standards. The system must display multiple documents from the clerk's official court files consistent with time standards adopted by the FCTC.

(a) The viewer must be capable of displaying up to three document viewing workspaces side-by-side. The purpose of having up to three open workspaces is to allow the user to view either three different documents or three pages of the same document at the same time. The first viewing workspace will be referred to as the initial workspace, the second and the third viewing areas will be called the second and the third viewing workspace respectively. The initial viewing workspace shall open first, and the second and third workspace viewing areas shall open as the second and third documents are loaded for display. Each workspace must contain a control for paging the document forward or back.

(b) A document being opened for viewing must open in the next available workspace to the right of the last viewing workspace opened. If all workspaces are in use displaying a document, the

document shall open as a tab in the initial workspace, or via a horizontal scrolling in the same viewing area.

(c) The workspace viewing area must contain controls that zoom, shrink, rotate, or flip the document they contain.

(d) The display must afford the user an option to specify user settings that identify the documents that can automatically be pre-loaded by default into three display workspaces when a case is opened for viewing.

(e) The system must automatically adjust page workspace viewing area sizes to fit the monitors on which the documents are displayed. For example, smaller monitors would only need to be able to automatically display two workspace viewing areas rather than three.

(f) Variances from these display standards are permitted for tablets and mobile devices to allow for effective use of their smaller displays.

6.7. Word Search. The system must be able to search the contents of the documents in the official court files of a single case or multiple cases selected according to limiting criteria, including division of court, date range, related cases of a party, attorney or other participant, charges or causes of action, and document type.

6.8. Accessing External Data. The system must make reasonable use of available sources of machine-readable data, organized into a display format useful to the court. It must contain a direct means for accessing legal research providers including but not limited to Westlaw and Lexis-Nexis.

§7. CASE MANAGEMENT AND REPORTING STANDARDS

7.1. Reporting. The system must have a comprehensive reporting function for case management data, and must be flexible to meet the reporting needs of individual circuits or counties. At a minimum it must provide:

(a) Active Case List, including title, type, age, attorneys or firms, next scheduled event date, and time since last activity with the ability to sort and filter on any field.

(b) Critical Case List. Listing of cases by type which are near or have exceeded Supreme Court time standards for such cases.

(c) Inactive Case List. List of cases with no activity for 180 days; with motions filed but not set for hearing; with no service of process after 120 days;

(d) Pending Orders list, containing cases having matters held under advisement by the judge, with the number of days since being placed in a work queue, see §7.3 below.

(e) List of cases on appeal, if the data is retrievable from the clerk's database.

(f) Performance Measures. The system shall have the ability to report clearance rate of cases; age of pending cases; and time to disposition of cases using the data elements outlined in Attachment A.

7.2. Workflow management. The workflow management system shall contain a work queue for each internal user and a due date monitoring system.

7.3. Work Queue. The system shall have a function for tracking the court's work queue.

(a) The judge, when viewing a document or a progress docket, shall have the ability to place a reference to the document directly into

the work queue for subsequent action, with the ability to over-ride default due date, or such other due date the judge may select.

(b) The work queue shall also accept other manually entered items.

(c) The judge shall be able to route the work queue item to other court personnel by moving it to the other person's work queue.

(d) Each work queue must be able to accommodate classification of work queue items into separate item types, such as "proposed orders," "internally generated orders," requests for Domestic Violence Injunctions, Warrants, emergency motions, and other user-specified types.

7.4. Daily Reminder (tickler). The system shall have a function for tracking due dates of specified tasks.

7.5. Alerts. The system must afford each user the ability to specify (and edit) a watch list of cases, sending an alert (electronic notification) advising that there has been a new filing or entry posted within the last twenty-four hours to the progress docket of any case on the user's watch list.

7.6. Automated Task for Case Management. The system must be able to run automated tasks that provide case management functions for the court, enabling the court to perform a SQL like query of any of the available data elements and populate form orders for each returned result.

§8. ORDER GENERATION AND PROCESSING FUNCTIONAL STANDARDS

8.1. Order Generation and Processing Required. The system shall have the capacity to generate court orders by merging information from the accessible databases and runtime user input into a bank of forms. It shall also have the ability to

process proposed orders submitted as PDF or word processor documents by internal and external users.

8.2. Recallable Entries. The order generation subsystem shall be able to recall previous entries by the same user to avoid the necessity of re-keying content.

8.3. Document Models. The document model for the order generation function must not be proprietary. Neither the court nor any county may be prevented from building or customizing their own form banks.

8.4. Generic Order. The order generation function shall afford the court an option to generate a generic order, merging only the case style, signature lines, and distribution list data, leaving the title and body to be entered as free text.

8.5. Electronic Signatures. The Order generation function must support electronic signing of PDF documents, whether internally generated or submitted as proposed orders by external users.

(a) Unless a document is signed when generated, it shall be placed in the judge's work queue.

(b) The court must have the option of electronically signing some, all, or none of the documents in the work queue at the same time.

(c) The subsystem must have a means for rejecting proposed orders submitted for signature with an explanation of the reason for rejection.

(d) An electronic signature of a judge shall be accompanied by a date, time stamp, and case number. The date, time stamp, and case number shall appear as a watermark through the signature to prevent copying the signature to another document. The date,

time stamp, and case number shall also appear below the signature and not be obscured by the signature.

8.6. Electronic Filing and Service. The system shall effectuate electronic filing and service of orders according to the Florida Rules of Judicial Administration.

§9. CASE NOTES FUNCTION STANDARDS

9.1. The system shall have a case note function which accepts input from internal users and may be viewed only by authorized personnel.

9.2. The subsystem shall accept note entries through text entry and insofar as feasible shall be compatible with speech-to-text utilities.

9.3. The subsystem shall be capable of accepting and storing documents or scanned images as part of the case notes.

9.4. When a case note is originally entered from a document viewing screen, the case note must be able to recall the same document when the note is later viewed.

9.5. The system shall automatically document the following in an audit log: scheduling events, changes to scheduled events, orders and judgments sent from the system, and the name of the user who initiated the entry or generated the order or judgment.

§10. HELP FUNCTION STANDARDS

10.1. The system must have a help system that adequately provides tutorial and documentation for users.

10.2. There must be a control on every screen other than a modal window which can access the help menu.

10.3. The help menu must provide a description of how to use each component of the system.

10.4. The help menu must contain a feedback channel for alerting system administrators of any performance issues or other problems.

Attachment A

It is expected that the judicial viewer applications, once in place, will provide the judges with tools for active case management in support of the Initiative and the court system with requisite detail data for program monitoring and reporting. However, most counties and circuits do not have this resource currently in place. Until such time as sufficient capability is available at the local level, the state level component will provide a web based service to judges and case and court managers that provides the appropriate performance indicators with associated drill down capability. This will ensure access to a consistent set of foreclosure data for all circuits and judges across the state. Additionally, as the Foreclosure Initiative is expected to continue into FY2014-2015, this service can also be expanded to include further reporting should future developments require reports or data not presently anticipated by this plan.

Performance Indicators

The data collection mechanism outlined above supports the calculation of case age statistics necessary to provide the essential tools for judges and court managers to manage the foreclosure case load. A brief summary is provided below and a more complete description of these measures can be found in the FY2013-14 Foreclosure Initiative Section Seven and in Appendix D of this data collection plan.

Time to Disposition – This statistic measures the length of time between filing and disposition and is presented as a percentage of cases that have been resolved within established time frames.

Age of Pending Cases – This statistic measures the age of the active cases that are pending before the court.

Clearance Rate – This statistic measures the ratio of dispositions to new case filings and assesses whether the court is keeping pace with its incoming caseload.

The Court Statistics and Workload Committee has developed recommendations for a set of definitions for case filing, disposition, active and inactive status and a computational methodology for these case age statistics. While developed for a different project, the definitions are consistent with the needs of the FY2013-14 Foreclosure Initiative project and their recommended methodology supports the calculation of its performance indicators. These definitions were advanced in Appendix G of the FY2013-14 Foreclosure Initiative report to provide context for the performance indicators proposed and are adopted for use by the Initiative. See Appendix A of this data collection plan for a complete list of definitions and Appendix D for the computational methodology.

Data Elements Required

The following information should be submitted to the OSCA:

Table 1. FY2013-14 Foreclosure Initiative Data Elements

Field Name	Type/Format	Comments
Date of Report	Date CCYY-MM-DD (note 1)	Cannot be blank. The effective date of the information in the reported case record is valid. For example, a date of 2013-04-30 and a status of "ACTIVE" for case record XXXX would mean that as of April 30, 2013, case number XXXX was in active status.
Uniform Case Number (UCN)	Text Length: 20	Cannot be blank. Standard UCN to identify and update case status data as required by Fl. R. Jud. Adm. 2.245(b).
Date Case Initiated/Reopened (note 3)	Date CCYY-MM-DD	Cannot be blank. The document stamp date (physical or electronic) that the case is brought before the court either through a filing event or a reopen event. See Appendix A. Reopened cases should report the date of the reopen event and not the date the case was originated.
SRS Case Category	Text Length: 6	Cannot be blank. As defined by Summary Reporting System (SRS) Manual (Jan 2002). See Appendix B Table 2 for the appropriate category codes.
Divisional Assignment	Text Length: 100 (note 3)	Cannot be blank. The division within the local jurisdiction to which the case is assigned. Since divisional assignments are specific to circuits and courts, clerks of court and court administration should ensure that this field is used consistently throughout the term of the FY2013-14 Foreclosure Initiative project. If the divisional assignments are associated with a team assignment, please report the team name in the Judge Assigned field.

Field Name	Type/Format	Comments
Judge Assigned	Text Length: 100 Last Name, First Name Suffix (note 3)	Cannot be blank. Name of judge or senior judge or the team assigned primary responsibility for the case as of date of report. Names should be reported as last name, followed by comma, followed by a space, followed by the first name, followed by a space, and then an optional suffix such as SR, III, etc. Hyphens and all other punctuation should be dropped. Paired names should be run together. For ex., Judge John Allers-Smith Sr. should be reported as "ALLERSSMITH, JOHN SR" If no judge or team has been assigned responsibility for the case as of the date of the report although one is expected soon, use the value "NOJUDGEASSIGNED". However, this value is considered a temporary assignment and the case will have to be permanently assigned as appropriate. For those jurisdictions using the team concept, please report a name for the team so that the appropriate group can be identified in performance indicator reporting.
Judicial Officer Referred (if applicable)	Text Length: 100 Last Name, First Name Suffix (note 3)	Name of the judicial officer (magistrate or designee) assigned primary responsibility for the case under the oversight of the "Judge Assigned" as of date of report. All cases are assigned to a judge, senior judge for disposition. However, these cases may be referred to a magistrates or other specially designated officer for resolution. Effective program evaluation requires that the name of both the primary judge and referred judicial officer be known. Names should be reported as described for Judge Assigned. For those jurisdictions applying the team approach or for those cases not involving an assisting general magistrate or senior judge, this field may be left blank.
Case Status	Text Length: 15	Cannot be blank. The status of the case as of the "Date of Report". Valid values are ACTIVE, INACTIVE, CLOSED, REOPEN ACTIVE, REOPEN INACTIVE, RECLOSED. See Appendix A for a description of these statuses and Appendix C for an example of their uses. For report record maintenance, a value of DELETE and REMOVE may also be reported in the Case Status field. This should be done to DELETE a record previously submitted in error, or to REMOVE a record that was originally identified as a foreclosure case but has been determined to belong in another case type. See Appendix C Notes 10, 11 for a description of the DELETE and REMOVE codes and examples of their uses.

Field Name	Type/Format	Comments
Closure Date	Date CCYY-MM-DD	Date that the case was closed for court action because of a disposition event or reclosed for court action because of a reclosure event (see Appendix A). Must be blank unless reporting a Case Status of 'CLOSED', 'RECLOSED', 'DELETE', or 'REMOVE'. When reporting the REMOVE event (see Appendix C), place the date the case was removed from foreclosure tracking in this field. Cases in one of the active or inactive reopen statuses should have their previous closure date removed.
SRS Disposition Type	Text Length: 6	As defined by Summary Reporting System (SRS) Manual (Jan 2002). See Appendix B Table 3 for the appropriate category codes. Must be blank unless Case Status = 'CLOSED'. Not applicable to reclosure events.

Notes:

1. All dates should be in NIEM compliant CCYY-MM-DD format.
2. Please report either case filing/disposition dates or reopen/reclosed dates but not both as these are distinct phases in the activity of a case. If reporting reopen/reclosed dates, please ensure that the case status reflects REOPEN ACTIVE, REOPEN INACTIVE or RECLOSED and vice versa.
3. All alphabetic text (including alphanumeric) should be in capital letters.
4. An update record should be submitted to the OSCA for each change in the content of these data elements.

This data collection plan includes the elements "Date of Report", "Uniform Case Number" and "Divisional Assignment" which are essential to the orderly collection and upkeep of this data. These elements will ensure correct computation of case age statistics and will provide a functional mechanism for data validation and correction. The "Date of Report" field will also provide a mechanism for the submission of case activity data more frequently than once per month and so will provide a seamless path as the collection of data evolves as discussed in the Data Usage and Availability section. The "Divisional Assignment" field will allow court managers the ability to implement a team case management approach to foreclosure cases while enabling the project to compute accurate performance indicators.

These reporting elements are comparable to the existing quarterly reporting requirement under Fl. R. Jud. Adm. 2.250 and defined by the Summary Reporting System (SRS) Manual. However, due to the nature of the FY2013-14 Foreclosure Initiative, there are differences. Please see the section entitled Reporting Exceptions in this document for a more detailed discussion. Reporting is, at a minimum, monthly and that the case list includes all cases classified in the foreclosure case type as defined by the Summary Reporting System (SRS)

manual and not just those cases exceeding time standards. Please note that the definitions and reporting of case status as defined in Appendix A are more fine grained than the criteria for pending reporting required by the SRS Manual. In particular for the FY2013-14 Foreclosure Initiative, case status should be evaluated with each report. Also, cases should be reported inactive when one of the reasons listed in this document transpire (see section Performance Indicators). The criteria of no action for twelve months as presented in the SRS manual for the quarterly pending report by itself is not sufficient for complete and accurate reporting under the Initiative guidelines. However, it remains a useful criterion for case management and cases that do not have any activity for twelve months should be reviewed for status.

Divisional Assignment and Teams:

The "Divisional Assignment" data element serves two purposes within this reporting structure. First, it aids with organization of cases within the circuit. Virtually all of the court's activity can be arranged into divisions even if that division is a single judge. Thus, some jurisdictions may have a division titled Part V, whereas others may refer to the division as simply Judge Green. Secondly, some jurisdictions employ a divisional "team" approach in which judges, senior judges and magistrates share the processing of a case. In jurisdictions employing this model, indicators associated with one specific individual are not meaningful whereas the indicators related to the group as a whole are.

Many circuits have adopted a team approach to handling foreclosure cases. In the team approach, several judges, senior judges and magistrates work together to resolve foreclosure cases with no one case specifically assigned to a judge. Each member of the team may hear any portion of any case assigned to the team. For example, Judge Smith may hear all cases scheduled for hearing on Monday, Judge Jones may hear all cases scheduled for hearing on Tuesday, Magistrate Toms may handle case conferences on Wednesday and so on. Teams may be reported to the OSCA via the initiative in the "Judge Assigned" field of the data record. Please note: to ensure proper reporting and tracking under the team approach, please report a consistent name for the designated team.

The team reporting concept is intended to provide circuits with maximum flexibility in deploying their judges, magistrates and other staff. It is true that some jurisdictions have defined divisions that also effectively define a team. In this circumstance, please report the division name in both the "Divisional Assignment" and the "Judge Assigned" field. Other jurisdictions have maintained their existing divisional assignments and arranged their personnel into smaller teams within these divisions. In this circumstance the "Divisional Assignment" and the "Judge Assigned" values will be different.

It is known that in many jurisdictions, judicial officers such as magistrates and special masters may handle select portions of a particular caseload. For example, a single magistrate may hear

all motions to submit alternate documentation. Since this motion may be one small element of the case, the case should not be considered as referred to magistrate. However, it is important to recognize the participation of these supplemental resources. In this type of circumstance, it is recommended that the divisional "team" assignment be used.

Case Status:

The determination of case status is a challenging issue within the courts. Yet, it is an essential element for case management since, by definition, it identifies those cases on which the court can proceed and those on which it cannot. Depending on the reason that a case status is changing, it is possible that either the clerk will be aware of the status change or the judge/case manager will be aware but not both. Accurate reporting of case status is important to ensure that Initiative resources are dedicated to the cases that need attention the most. It is recommended that circuit Initiative managers work with their respective clerks to establish a mechanism whereby cases known to the circuit to be inactive can be communicated to the clerk of courts who can report that status to the OSCA Supreme Court Administrative Order AOSC13-51, IN RE: CASE STATUS REPORTING REQUIREMENTS FOR REAL PROPERTY MORTGAGE FORECLOSURE CASES, requires both circuit administration and clerks of court offices to develop a mechanism whereby this information can be reported in a timely manner. It is also possible that neither the clerk nor the judge is aware that the case is effectively inactive such as when the parties are involved in on-going settlement negotiations. However, it is expected that the enhanced case management process implemented as part of the FY2013-14 Foreclosure Initiative should identify those cases and assign the appropriate case status. Please see section Determination of ACTIVE/INACTIVE Status of the Plan for further discussion.

Data Sources

The timely and accurate submission of meaningful case status data as required by this data collection plan is considered an essential component of the Foreclosure Initiative and should be a central element of both the clerks of court and circuit plans for this initiative. The clerks of court, as custodians of the court record, are ultimately responsible for providing the data necessary for the FY2013-14 Foreclosure Initiative. However, it is recognized that clerks of court and circuit court administration have many potential sources of this case status data such as the clerk's own case maintenance system, the circuit judicial viewer systems as they are deployed and the state level Comprehensive Case Information System (CCIS). Within the constraints of established reporting requirements, this plan should not be construed to limit the ability of clerks of court to develop this data in the manner most suited to their operations. Clerks of court, in coordination with circuit administration, vendors and other data providers, may arrange to provide the necessary data from any source they deem appropriate.

However, it is important that case tracking and status reporting begin as soon as the Foreclosure Initiative begins on July 1, 2013 with the first report due as of July 31, 2013. It is understood that many clerks of court may have to develop an interim process for obtaining and reporting this data while more traditional data sources are brought online. Each clerk is encouraged to work with their circuit court administration and with the OSCA to establish a viable and timely reporting process.

Types of Submission:

The data required for this Initiative is a list of foreclosure case activity as of the date of the report. The initial list of foreclosure cases reported as of July 31, 2013 will include all cases that that are opened or reopened as of July 31. The report will also include all cases that were disposed or reclosed in the period Jul 1 – Jul 31, 2013. To provide some extra flexibility to the clerks of court, the OSCA has identified two content formats that clerks may use to submit foreclosure case activity data. The purposes of this data collection is to capture all case activity on foreclosure cases relevant to the data elements provided. Activity, in this context, means any changes to any field within this data set. For all submissions after the first one, foreclosure case activity may be provided in one of two content formats as follows:

1. **UPDATE**: This case activity report contains a list of only those foreclosure cases with some activity in the span of time since the last report and the as of date of the current report. This list would include cases that were opened or reopened, disposed or reclosed, or that change status from active to inactive, inactive to active and reopened active to reopened inactive and back again. The submission file should also include any cases with a change in *any* of the ten fields of the report, such as a change in judge assigned, SRS case type or judicial officer referred. Thus, if the last report submitted by the county was as of July 31, 2013, then the current submission file should contain case records with activity between Aug 1 – Aug 31, 2013. ***Note:*** Closures and Reclosures are not limited to those having closure dates within this period. If during the month of August, a case was discovered to have closed back in July, or on a date prior to the start of the Foreclosure Initiative, this closure activity should be reported in the August 31st report.

2. **FULL**: This case activity report contains the entire Foreclosure Initiative inventory, regardless if a change occurred to the case since the time of the last report. The submission data file is essentially a list of all cases, open and reopened, as of the date of the report, plus all cases that had closure activity since the last report period and all cases that had a change in any of the data elements required by this initiative. For example, an August monthly report would contain a list of all open/reopen cases and their status as of Aug 31, 2013 and a list of all cases having closure activity since July 31st.
   Note: Just like in the update report, this may include cases with closure dates beyond the

report's timeframe to allow for updating cases that were actually closed or reclosed on a date in the past.

Which content format is used must be indicated in the file name of the submission file. Please see Appendix C Note 8. Also, please note that the first foreclosure case activity report due as of July 31, 2013 must contain *all* cases open and reopened and all cases closed in July as discussed above. The county cannot send an update file for the initial report. Cases reported as disposed or reclosed in a previous reporting period and which have not been reopened in the current reporting period do not need to be reported again.

Correction:

Corrections to foreclosure case activity data reported in error may be submitted in one of two methods:

1. The corrections from a previous report may be made within the current period's report. Add the record to be corrected to the report and ***use the report date of the period to be corrected***. For example, assume a case record reported a case as ACTIVE in the July 31 report but should have been reported as INACTIVE. This data can be corrected in the August 31 report by adding the record to the submission file with the correct case status and a report date of 2013-07-31. (See Appendix C) This also includes cases omitted from the previous report. Include the case record with a report date value of the period in which the case should have been reported. If the case subsequently had a change to one of the ten fields since that report date, a second record should be included and contain the current report's report date value.

2. A supplemental file that includes only corrections or omissions from the last report may be submitted at any time. The process of reporting the records is the same, but the corrections do not have to be held until the next regularly-scheduled report submission.

If significant issues are identified to previously-reported Foreclosure Initiative data, please contact the Foreclosure Initiative Support Team to develop a plan for submitting these corrections. The OSCA recognizes that clean up in some jurisdictions could involve updates on thousands of case records and is sensitive to the amount of work such clean up may entail.

Deletion/Removal:

The data collected during the FY2013-2014 Foreclosure Initiative is intended to be a complete, up-to-date inventory of foreclosure cases. Consequently, it may be necessary to eliminate cases previously reported to the initiative. While there can be several reasons for this need, the types of cases typically fall in to two categories: 1) the case should not have been reported to the

initiative in the first place. This might occur if a case number was generated in preparation for a case that was never filed or when a non-foreclosure case was inadvertently reported as foreclosure; and 2) when a case was originally assigned to the foreclosure case type, but as the case evolves, it is determined that the case belongs in a case type other than foreclosure. While not common, it is important for the data collection plan to address as many possibilities as practical.

To handle the two scenarios above, the OSCA has defined two record maintenance codes, which when appropriate, should be reported in the CASE_STATUS field of the report record. In the first scenario, a case may be deleted from the initiative by placing the code "DELETE" in the CASE_STATUS field of the case record. This will have the effect of deleting that record and all previous records involving that case from the foreclosure initiate data warehouse. The net effect will be as if the case was never submitted to the initiative.

In the second scenario, a case record was legitimately part of the initiative for a period of time and, therefore, must be tracked for that period of time. However, after a given date, the case should not be considered as part of the initiative even if the case is still ACTIVE. For example, a case is filed as a residential foreclosure and is reported to the initiative. After a hearing, it is determined that the case really belongs in the "Other Real Property" case type. This case must be removed from the initiative data warehouse since it is no longer being tracked as a foreclosure case. In this circumstance, report a code of "REMOVE" in the CASE_STATUS field and place the date in which the case was removed from the initiative in the CLOSURE_DATE field.

See Appendix C Notes 10 and 11 for an example of reporting the DELETE and REMOVE events.

Change of Status

Examples of events that would move a case from active to inactive within the context of this FY2013-14 Foreclosure Initiative are:

- A stay of bankruptcy
- Resolution of foreclosure case requires resolution of a related case
- On-going settlement negotiations or agreement by both parties
- Foreclosure case is on hold pending appeal
- A hold is placed on case due to Department of Justice document review
- When directed by the presiding judge consistent with the definitions of an inactive case included in Appendix A

Additional inactive criteria are being evaluated and may be added to the above list as necessary.

Determination of Active/Inactive Status

The determination of case status is a challenging issue within the courts. Yet, it is an essential element for case management since, by definition, case status identifies those open cases on which the court can proceed and those on which it cannot. Accurate reporting of case status is important to ensure that Initiative resources are dedicated to the cases that need attention the most. In recognition of this importance, AOSC13-51: IN RE: CASE STATUS REPORTING REQUIREMENTS FOR REAL PROPERTY MORTGAGE FORECLOSURE CASES directs chief judges and clerks of court to establish a mechanism, by local administrative order, whereby cases known to the circuit to change status from ACTIVE to INACTIVE or INACTIVE to ACTIVE can be communicated to the clerk of courts who can report that status to the OSCA as indicated in this document and to the circuit judges who can act on this information.

While it is left to individual jurisdictions to develop the mechanism that best fits its operations, the mechanism should generate a record of, at a minimum, the uniform case number of the case, the date of the order initiating the status change, the case number of any related case (if appropriate) and the reason for the status change including a fixed code to facilitate electronic tracking within the court system. Additionally, the local administrative order should include directions to both parties to notify the clerk of courts as soon as an event occurs that would change the status of a case such as when a bankruptcy is filed or an agreement is reached. Sample orders are provided as Appendix E and may serve as a template if desired.

There are currently six recognized reasons that may move a case from ACTIVE to INACTIVE status or, conversely, from INACTIVE to ACTIVE status listed in Table 2.

Table 2: Reasons For Inactivity and Associated Reporting Codes

Reason	Codes		Comments
	Active to Inactive	Inactive to Active	
A stay of bankruptcy	BKST	BKSTLFT	
Resolution of foreclosure case requires resolution of a related case	CPRC	CPCSDISP	

Reason	Codes		Comments
	Active to Inactive	Inactive to Active	
On-going settlement negotiations or agreement by both parties	BWAP	BWAPDISP	
Foreclosure case is on hold pending appeal	AP	APDISP	
A hold is placed on case due to Department of Justice or Attorney General review.	DOJAG	DOJAGDISP	
When directed by the presiding judge consistent with the definitions of an inactive case included in Appendix A.	OTH	OTHDISP	A free text description of the cause **must** be provided when reporting a status change for this reason

A status change will occur as of the document stamp date of the document directing the status change. A case transitions from INACTIVE to ACTIVE when any event occurs which enables the court to take further action on the case. Thus, the filing of a motion or the scheduling of a hearing or case conference requesting the court to take further action would be examples of events that move a case from INACTIVE to ACTIVE status regardless of the existence of the circumstances noted above unless that requested action must also be on hold until the reason for inactivity is resolved.

It is also possible that neither the clerk nor the judge may be aware that the case is effectively inactive such as when the parties are involved in on-going settlement negotiations but do not inform the courts. However, it is expected that the enhanced case management process implemented as part of the FY2013-14 Foreclosure Initiative should identify those cases and assign the appropriate case status as necessary.

Please note that it is not required to report the reason code for status change at this time under the reporting format outlined in Appendix C. While these reason codes will provide the courts with valuable information to improve the handling of cases, the OSCA recognizes that clerks of court and court administration have sufficient challenges in meeting the existing reporting requirement. However, status change reason codes are an integral part of case age reporting as

envisioned by Fl. R. Jud. Adm. 2.225(a)(2) which will include all case types. It is expected that these reason codes will be included in the data provided to the judicial viewers as they are implemented and to the state level as applicable. Clerks of court and court administration should plan to achieve this reporting capability no later than January 31, 2015. Since case age statistics are central to the Foreclosure Initiative, the current case age reporting requirement provides an excellent opportunity to incorporate reason code reporting capability.

Foreclosure Initiative Reporting and the Summary Reporting System

FY2013-14 Foreclosure Initiative reporting occurs within the larger context of the Summary Reporting System (SRS) which is the primary mechanism for reporting judicial workload information to the OSCA. The challenge in this Data Collection Plan is to provide the more detailed reporting mechanism necessary for the successful accomplishment of Initiative goals while remaining consistent with SRS requirements and purpose. The Case-Event definitions adopted in Appendix A provide that consistent framework.

Reporting Exceptions:

Clerks must report filing, disposition and reopen counts monthly to the SRS as directed by the SRS Manual. The following paragraphs discuss some of the differences in reporting between the Foreclosure Initiative and the Summary Reporting System. In circumstances where instructions for reporting under the Foreclosure Initiative conflict with reporting instructions under SRS, please follow the instructions listed in this Data Collection Plan for the duration of the Foreclosure Initiative for all foreclosure case types. SRS instructions should continue to be followed for all other case types. Please contact our Foreclosure Initiative Support Team if you have any questions.

Unlike the SRS, which covers all case types, tracking and reporting under the FY2013-14 Foreclosure Initiative includes only those cases classified in one of the SRS mortgage foreclosure case types only. Reporting does not include cases that would be reported in the Other Real Property category for SRS.

Reporting under the initiative is more frequent than under SRS. Reports under the Foreclosure Initiative should be weekly as of the close of business on Friday with the data file due by the following Tuesday. SRS reporting, by contrast, occurs monthly. However, to assist the clerks and court in preparing to report under this more frequent standard, the Foreclosure Initiative has requested monthly submissions for the period July 1 through December 31, 2013. Reporting during this period should be monthly as of the last day of the month and due the third working day of the following month. Counties should prepare to submit weekly reports under the Foreclosure Initiative beginning in January 2014.

For cases in which all defendants file bankruptcy, the SRS Manual directs that these cases be closed, whereas the Initiative Data Collection Plan directs that these cases remain OPEN but be reported in the INACTIVE status.

A foreclosure case with a related suggestion of bankruptcy should be reported as open in the INACTIVE status until the related bankruptcy is discharged. Historically, the SRS requirement to report a foreclosure case closed upon suggestion of bankruptcy was a workaround implemented to clear these cases from the judges' pending report since the judge cannot resolve the foreclosure case with a bankruptcy pending. The implementation of ACTIVE and INACTIVE status reporting eliminates the need for this workaround.

Reporting Cases Closed or Reclosed:

Closure events such as disposition and reclose should be reported as closed on the date of the clerk's document stamp date or the date as directed in the closure order if one is provided.

Current SRS Guidelines do not require reporting the closure of cases in the REOPEN state. Thus, it is not necessary to report or amend via the SRS to document reclose events as identified in this initiative.

The OSCA recognizes that clean up in some jurisdictions may involve updates on thousands of case records and is sensitive to the amount of work such clean up may entail. The reporting requirements of this plan document are designed to require the least amount of effort necessary to capture the requisite data. However, we are always looking to improve the process. Please contact the Foreclosure Initiative Support Team if you wish to discuss the reporting efforts in your jurisdiction.

The reporting requirements of this initiative state that all cases in either an open or reopened state as of July 1 and all cases initiated (either as open or reopen) and closed (disposed or reclosed) after July 1 were to be reported. Based upon data submitted for July and August 2013 of this initiative, case records are reported in one of five conditions. Below is a list of those conditions and some guidelines for reporting closure of these cases.

A case was reported in one of the foreclosure case types in an ACTIVE/INACTIVE status

- and does not have any closure documentation in the case file.
    - These represent cases that require resolution by the court and should be reported when the disposition event occurs (as defined in Appendix A). The date reported should be the clerk document stamp date (as per SRS) or the date of the

disposition event if so directed by the disposition order. Reporting for the Initiative and for SRS should follow the appropriate guidelines for each system

- and, upon further investigation, has the appropriate closure documentation in the case file indicating closure prior to July 1, 2013.
    - Clerks should update their case maintenance system with the appropriate document stamp date to ensure that future pulls of this data accurately reflect case activity.
    - Ideally, for all cases (opened and reopened) report the date of disposition from the closure document using the standard Initiative procedures. Closure dates prior to July 1, 2013 should be reported to the Initiative but will not be included in performance indicator calculations. This is the preferred method of resolving this issue.
    - Alternatively, since the case was closed prior to the start of the Initiative (July 1, 2013), the clerk may submit a DELETE record as described in this document to remove the cases from Initiative tracking.
    - Under SRS guidelines, clerks have not previously needed to track reclosure dates. Consequently, for cases reported in a reopened status, there is no need to report reclosure events to the SRS. Reporting of these cases is required only to the Initiative.
    - For cases in the OPEN state, the clerk of court must determine whether the disposition was reported previously to the OSCA. If the case was previously reported, then no further action for SRS is necessary. If the disposition was not previously reported, then the clerk of courts should prepare the appropriate SRS amendment reports and submit them to the OSCA as per SRS guidelines. Please note that current SRS guidelines allow amendments for only three years prior to the current year, whereas the Initiative considers all open cases regardless of age. If a significant number of amendments involve years prior to 2010, please contact Foreclosure Initiative Support Team to develop a plan for submitting these corrections.
- and, upon further evaluation, may be closed due to inactivity or other appropriate reason.
    - Cases that have yet to be disposed/reclosed, but which may be based on current circumstances, should be reported to the Initiative as closed using the document

stamp date of the closure order (as per SRS) or the date of the disposition event if so directed by the closure order.

- For cases in an OPEN state, this closure represents a valid case disposition. Consequently, the disposition must be reported to the SRS also using the appropriate SRS reporting instructions.

- and, upon further evaluation, is determined to have been submitted to the Initiative in error.

    - The clerk may submit a DELETE record as described in this document to remove the cases from Initiative tracking.

    - Clerks should determine is this case was reported to the SRS in error and amend the applicable SRS report as necessary.

and is subsequently transferred to a non-foreclosure case type.

- The clerk should submit a REMOVE record to the Initiative as described in this document to remove the cases from Initiative tracking.

- No additional action for SRS reporting is necessary

Appendix A. Case Event and Status Definitions

The definitions presented here are the same ones as provided in Appendix G of the FY2013-14 Foreclosure Initiative. Additional definitions for open case, closed case etc. were added to the list for completeness and clarity. For consistency in terminology with other reporting systems, the Reopen Closure event has been relabeled as the Reclosure event.

- **Filing event**: A filing event occurs when an action is brought before the court as the result of a petition, pleading, complaint or any other recordable[1] action sufficient to begin a case. This definition would include an arrest or summons or other action charging an individual with a crime, as well as the filing of any other document or action recorded with the court authorized to initiate a case. The initiation of a case by whatever means is referred to as a filing event.

- **Open case**: A case that has one or more issues outstanding that require active resolution by the court.

- **Disposition event**: A disposition event has occurred when a case is closed for court activity as a result of judicial decision, order or other recordable action that provides resolution, by the court, on the issues raised by and subsequent to the filing event.

- **Closed case**: A case that has had all issues raised by and subsequent to the filing event resolved and no further action of the court is required. This definition of closure does not indicate that the clerk of courts or other agencies have completed all of their required activity with regards to the case, only that the court has rendered judgment on the matters of the case and will take no further action (excluding planned review or scheduled future action)

- **Reopen event**: A reopen event occurs when a motion, pleading or other recordable action occurs on a case that requires additional court activity after a disposition event has closed the case for court activity. Note that a reopen event involves at least one action and that additional post-judgment actions may occur before the case is reclosed.

- **Reopened case**: A case that has one or more post-judgment actions outstanding that require active resolution by the court.

[1] Recordable, in this guideline, means those happenings relating to court activity that would appear on a court docket or otherwise require the making of an historical record by the clerk of courts in their official capacity.

- **Reclosure event**: A reclosure event occurs when the last (or only) post-judgment action has been resolved by judicial decision, order or other recordable action, thereby completing court proceedings on the issues raised by and since the reopen event occurred.

- **Reclosed case**: A reopened case that has had all post-judgment actions resolved and no further action of the court is required.

With the addition of these definitions, there are six statuses in which a case can be placed as the case moves from initiation to resolution:

- **Active –** A case is considered in an active status when the court is engaged in activity directly related to the resolution of the specific matters and issues associated with the case.

- **Inactive** - A case is considered in an inactive status when court activity on that case is suspended pending resolution of an issue external to the court or that does not directly involve the court in resolving that issue; for example, awaiting the results of an appeal or the disposition of a related case. A case placed in an inactive status is not closed and does not need to be reopened when the case returns to active status, regardless of the length of time involved.

- **Closed** - A case is considered to be closed, or disposed, (that is, in a closed status) for court activity on the date of the judicial decision, order or other recordable action that provides resolution to the last (or all) of the matters brought before the court as a consequence of the filing event that initiated the case. The court, then, has no further action to take on the case.

- **Reopened Active -** A case will be considered to be in a reopened status (either active or inactive), from the date that the first post-judgment motion/pleading is filed or other action occurs that reopens a case for court activity (i.e. the reopen event) until the date of the last judicial decision/order resolving all overlapping court proceedings (i.e. the reopen closure event). Each period in which a case is reported as in a reopened status may involve one or more overlapping post-judgment actions. A case is considered to be in a reopened active status when one or more post-judgment actions are pending and the court is actively engaged in their resolution.

- **Reopened Inactive -** A case is considered to be in a reopened inactive status if the activity on all outstanding post-judgment actions is held in abeyance pending resolution of some issue external to the court or that does not directly involve the court in resolving that issue. In this circumstance, the court is not actively working to resolve the matter(s).

- **Reclosed -** A case that has had one or more post-judgment actions will be considered closed, or disposed, (that is, in a reclosed status) for court activity on the date of the judicial decision, order or other recordable action that provides resolution to the last (or all) of the matters brought before the court since the reopen event occurred. The court, then, has no further action to take on the case.

Appendix B. SRS Case Type and Disposition Type Codes

Please use the following numerical codes for SRS case type and SRS disposition Category. During the FY2010-2011 Foreclosure Initiative, the use of an exact text field proved problematic for some jurisdictions. Consequently, to ensure accuracy, an equivalent SRS case type numerical code is provided. Please use the numerical codes for state level reporting and the corresponding text fields for display purposes.

Table 3. SRS Case Type to Case Type Codes

SRS Case Type	SRS Case Type Code
Real Prop/Mort Foreclosure-Commercial $0-50K	346001
Real Prop/Mort Foreclosure-Commercial $50-249K	346002
Real Prop/Mort Foreclosure-Commercial $250K+	346003
Real Prop/Mort Foreclosure-Homestead, Residential $0-50K	346004
Real Prop/Mort Foreclosure-Homestead, Residential $50-249K	346005
Real Prop/Mort Foreclosure-Homestead, Residential $250K+	346006
Real Prop/Mort Foreclosure-Non-Homestead, Residential $0-50K	346007
Real Prop/Mort Foreclosure-Non-Homestead, Residential $50-249K	346008
Real Prop/Mort Foreclosure-Non-Homestead, Residential $250K+	346009
Real Prop/Mort Foreclosure (Pre2010)[1]	346000
Real Prop/Mort Foreclosure-Other Real Property $0-50K[2]	346010
Real Prop/Mort Foreclosure-Other Real Property $50-249K[2]	346011
Real Prop/Mort Foreclosure-Other Real Property $250K+[2]	346012

Notes:

1. Please use the "Real Prop/Mort Foreclosure (pre2010)" category only for those cases initiated prior to January 2010 that cannot be associated with one of the more detailed case types implemented in January 2010. All cases initiated in or after January 2010 must reflect the more detailed case types.

2. Cases originating in the "Other Real Property" categories do not need to be reported under the Foreclosure Initiative. They are included to provide a mechanism to report cases that change from a foreclosure case type to the other real property case type. If a case has changed to one of these three Other Real Property SRS case types, it will be removed from the reports and calculations at that point in time. After the initial change is reported, the case need not be included in subsequent reports.

Table 4. SRS Disposition Types and Disposition Type Codes

SRS Disposition Types	SRS Disposition Type Code
Dismissed Before Hearing-Settlement	362100
Dismissed Before Hearing-Mediated Settlement	362200
Dismissed Before Hearing-Other	362300
Dismissed After Hearing-Settlement	378100
Dismissed After Hearing-Mediated Settlement	378200
Dismissed After Hearing-Other	378300
Disposed by Default	394000
Disposed by Judge	410000
Disposed by Non-Jury Trial	426000
Disposed by Jury Trial	442000
Disposed by Other	458000

Notes:

1. Those disposition categories labeled as Pre2010 are only valid for those cases initiated prior to January 2010 and disposed January 2010 or later whose disposition cannot be assigned to one of the newer (post 2010) disposition types (362100 through 458000). All cases initiated in or after January 2010 must reflect the more detailed disposition categories.

Appendix C. Sample Data File

```
REPORT_DATE|UCN|INIT_REOP_DATE|SRS_CASE_TYPE|DIVISION|JUD_ASSIGN|JUD_OFCR_REFERRED|CASE_STATUS|CLOSURE_DATE|SRS_DISP_CAT
2013-08-31|342013CA000856AXXXXX|2013-04-25|346011|DIVISION I|ALLERSSMITH, JOHN SR||ACTIVE||
2013-08-31|342012CA002238AXXXXX|2012-02-24|346005|MORTGAGE|JOHNSON, SARA|TOMS, GREG|CLOSED|2013-08-13|362200
2013-08-31|342012CA008196AXXXXX|2012-06-02|346003|DIVISION I|ALLERSSMITH, JOHN SR|CLAY, WILLIAM|INACTIVE||
2013-08-31|342009CA003245AXXXXX|2013-08-11|346007|DIVISION I|SMITH, JOHNPAUL||REOPEN ACTIVE||
2013-07-31|342012CA002238AXXXXX|2012-02-24|346005|MORTGAGE|JOHNSON, SARA|TOMS, GREG|INACTIVE||
2013-08-31|342011CA043271AXXXXX|2013-08-04|346007|DIVISION I|SMITH, JOHNPAUL||DELETE||
2013-08-31|342011CA045686AXXXXX|2013-08-11|346007| DIVISION I|ALLERSSMITH, JOHN SR ||REMOVED|2013-08-14|
EOF|000007
```

Notes:

1. Dates should be submitted in NIEM compliant CCYY-MM-DD format
2. Fields that do not contain data should be left blank (empty). Do not terminate the line with a pipe character. There are ten fields so there should be nine pipe characters per line. Each line should be terminated with a carriage return-linefeed pair.
3. Include the column headers as listed in this sample. This will provide a quick and obvious check that the import occurred correctly.
4. Note that, in the fourth record, the INIT_REOP_DATE is the date the case is reopened and not the case filing date.
5. Of these data elements, only the CLOSURE_DATE and the SRS_DISP_CAT may be left blank. All other fields are mandatory.
6. For reopened cases, use the SRS case type of the original case at time of disposition.
7. The last line of the data file should indicate end-of-file followed by the count of records contained in the file (not including header row and EOF line). The number field should be six digits left padded with zeros. This will enable the OSCA to verify file integrity following transmission.
8. To assist with tracking and processing, each data file should be submitted with a specific file name in the following format: **CC_YYYYMMDD_foreclosure_[format].txt** where CC represents the two digit county code, YYYYMMDD reflects the eight digit report date and [format] represents the content type of the report. Therefore, if our county was using the FULL content format, our sample data file would be submitted using the file name 34_20130831_foreclosure_full.txt. If they were using the UPDATE content format, the file name would be 34_20130831_foreclosure_update.txt
9. Record number five is a record correcting the status of case 342012CA002238AXXXXX to INACTIVE as of report date July 31, 2013.

10. Record number six represents a DELETE record. The submission of a DELETE record will remove the entire case and all its associated history from the data base and may be used to delete a case that should not have been reported as foreclosure. The Report Date field should contain the date of the current report.
11. Record number seven represents a REMOVE record. Occasionally, a case is initially assigned as a foreclosure case but is later determined to belong to another case type. Please use the REMOVE status to indicate that this case was removed from consideration of the Foreclosure Initiative and complete the CLOSURE DATE field to indicate the date the case was removed from consideration.

Appendix D. Performance Indicator Computation Methodology

The attached documents describe the computation method of the three performance indicators included in this plan.

Clearance Rates

Measure 2

Definition: The number of outgoing cases as a percentage of the number of incoming cases.

Purpose: Clearance rate measures whether the court is keeping up with its incoming caseload. If cases are not disposed in a timely manner, a backlog of cases awaiting disposition will grow. This measure is a single number that can be compared within the court for any and all case types, from month to month and year to year, or between one court and another. Knowledge of clearance rates by case type can help a court pinpoint emerging problems and indicate where improvements may be made. Courts should aspire to clear (i.e., dispose of) at least as many cases as have been filed/reopened/reactivated in a period by having a clearance rate of 100 percent or higher.

Method: Computing a clearance rate requires a count of incoming cases and outgoing cases during a given time period (e.g., year, quarter, or month).

Step 1 Incoming cases are summed using three kinds of cases: *New Filings*, *Reopened* cases, and *Reactivated* cases. If *Reopened* and *Reactivated* cases cannot be counted, just use *New Filings*.

Sum incoming cases		
New Filings		812
Reopened Cases	+	162
Reactivated Cases	+	109
Total Incoming Cases	=	1,083

Step 2 Outgoing cases are summed by using three kinds of dispositions: *Entry of Judgment*, *Reopened Dispositions*, and *Placed on Inactive Status*. If *Reopened Dispositions* and *Placed on Inactive Status* cases cannot be counted, just use *Entry of Judgment* cases.

Sum outgoing cases		
Entry of Judgment		684
Reopened Disposition	+	137
Placed on Inactive Status	+	92
Total Outgoing Cases	=	913

Step 3 The clearance rate is calculated by dividing the result of Step 2 by the result of Step 1.

Calculate clearance rate	
913 ÷ 1,083= 84%	

National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23185
800-466-3063

Time to Disposition

Measure 3

Definition: The percentage of cases disposed or otherwise resolved within established time frames.

Purpose: This measure, used in conjunction with *Measure 2 Clearance Rates* and *Measure 4 Age of Active Pending Caseload,* is a fundamental management tool that assesses the length of time it takes a court to process cases. It compares a court's performance with local, state, or national guidelines for timely case processing. When the underlying data conform to the *State Court Guide to Statistical Reporting*, the measure takes into account periods of inactivity beyond the court control (e.g., absconded defendants, cases suspended pending decision on an appeal) and provides a framework for meaningful measurement across all case types.

The case processing time standards published by the American Bar Association (ABA) and those published by the Conference of State Court Administrators (COSCA) provide a starting point for determining guidelines. Many states and individual courts have adopted their own guidelines, and certain case types (e.g., juvenile) have been the focus of more detailed guidelines by a variety of organizations. Courts should take note of existing guidelines and rules of court in their jurisdiction when developing their own guidelines for each case type.

COSCA Case Processing Standards

Civil
- Non-Jury Trial – 100% within 12 months
- Jury Trial – 100% within 18 months

Criminal
- Felony – 100% within 180 days
- Misdemeanor – 100% within 90 days

Juvenile
- Detention and Shelter Hearings – 100% 24 hours
- Adjudicatory or Transfer Hearings
  - Concerning a juvenile in a detention or shelter facility – 100% within 15 days
  - Concerning a juvenile not in a detention or shelter facility – 100% within 30 days

Domestic
- Uncontested – 100% within 3 months
- Contested – 100% within 6 months

ABA Case Processing Standards

Civil
- 90% within 12 months
- 98% within 18 months
- 100% within 24 months

Criminal
- Felony
  - 90% within 120 days
  - 98% within 180 days
  - 100% within 1 year
- Misdemeanor
  - 90% within 30 days
  - 100% within 90 days

Juvenile
- Detention and Shelter Hearings – 100% 24 hours
- Adjudicatory or Transfer Hearings
  - Concerning a juvenile in a detention or shelter facility – 100% within 15 days
  - Concerning a juvenile not in a detention or shelter facility – 100% within 30 days

Domestic
- 90% within 3 months
- 98% within 6 months
- 100% within 1 year

Source: National Center for State Courts Web site, www.ncsconline.org/WC/Publications/KIS_CasManCPTSPub.pdf.

National Center for State Courts
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Williamsburg, Virginia 23185
800-466-3063

Method: This measure should be reviewed on a regular (e.g., monthly, quarterly, annual) basis. If reviewed regularly, the court can observe trends as they develop, then aggregate the data for annual reporting.

For each case type, the first task is to compile a list of all cases that were disposed or otherwise resolved during the reporting period. For the purpose of this measure, "disposed or otherwise resolved" is defined as having had an *Entry of Judgment.* If the data for the measure are not available in automated form, and data collection requires manual review of case files, then the measure will likely need to be taken on an annual basis. Sampling is an option in courts where case volumes are high.

Sampling

This measure should be calculated for all cases disposed or otherwise resolved during the reporting period. However, sampling will be necessary in courts where case volumes are high if a complete report cannot be produced by the case management system. In most instances, a sample of 300 cases will be sufficient. To obtain a random sample requires: a list of all cases in the population, a unique identification number for each case, and a method for selecting cases. A straightforward method is systematic sampling where only the first case is randomly selected and then every nth case from a list is selected for the sample, i.e., if the total number of civil cases in a court was 3,000 and the sample size was to be 300 cases, select every tenth case (3000/300=10).

Which Cases Are Included?

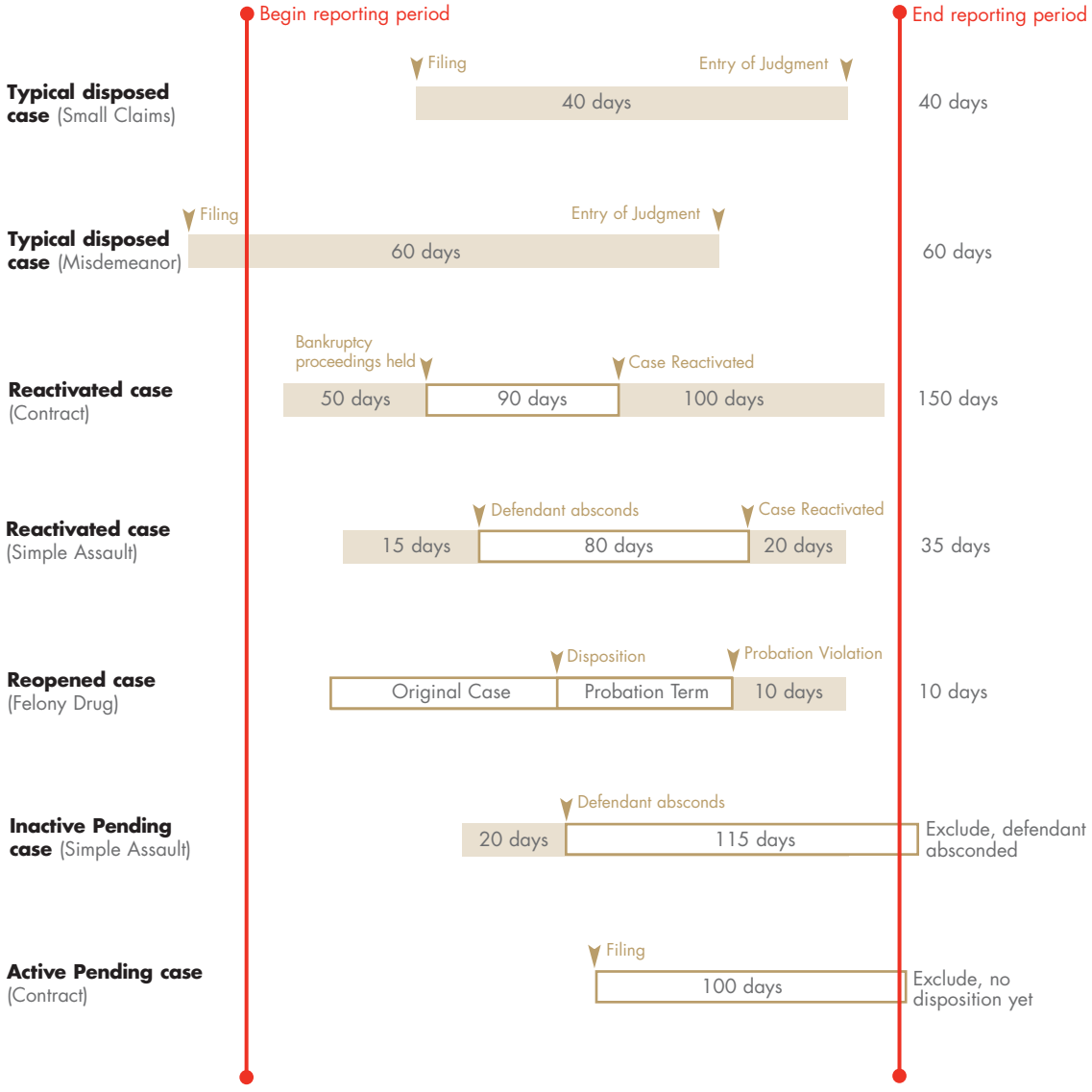
There are two kinds of cases for which the time to disposition can be computed. The first are typical cases that move through the system without interruption. When these cases are disposed or otherwise resolved by *Entry of Judgment* during the reporting period, they should be counted. The filing dates for these cases will vary, but what qualifies them for inclusion is the fact that the disposition dates all fall within the reporting period (e.g., the calendar year).

The second kind are cases that had their progress interrupted and underwent a period of inactivity, but were *Reopened* or *Reactivated* by the court and disposed of during the reporting period. An example of this is a contract case that is *Placed on Inactive Status* pending the outcome of bankruptcy proceedings. Following those proceedings, the contract case resumes and is disposed. Another example is a criminal case in which the defendant absconds after the case was filed. The case is *Placed on Inactive Status* during this time, but when the defendant is apprehended and returned to court, the case resumes and is disposed.

Cases in which judgment was previously entered but which have been *Reopened* due to a request to modify or enforce existing judgments are also included. For example, the court might grant a motion to consider newly discovered evidence, and thus reopen a case. In juvenile cases, a case might be reopened due to violation of probation, or due to failure of parents to comply with a court order. When these *Reopened* cases are disposed during the reporting period, they should be included in this measure. In all these examples, the time that is counted starts when the case is reopened, not with the date of the original filing.

Cases that are in an official period of inactivity at the end of the reporting period should *not* be included in this measure. As this type of case is considered to be among the court's *Inactive Pending* cases at the end of the reporting period (i.e., they are not moving toward disposition for a known and legitimate reason and the court is aware of this), they should be excluded from the analysis. *Active Pending* cases are excluded from analysis, since no disposition has been reached.

Time Calculation Examples



Age of Active Pending Caseload

Measure 4

Definition: The age of the active cases that are pending before the court, measured as the number of days from filing until the time of measurement.

Purpose: Cases filed but not yet disposed make up the court's pending caseload. Having a complete and accurate inventory of active pending cases as well as tracking their number and age is important because this pool of cases potentially requires court action. Examining the age of pending cases makes clear, for example, the number and type of cases drawing near or about to surpass the court's case processing time standards. Once the age spectrum of cases is determined, the court can focus attention on what is required to ensure cases are brought to completion within reasonable timeframes.

Method: For each case type being analyzed, the court should produce a report that calculates the time, in days, from filing of the case until the date established for the reporting period being examined (e.g., last day of the month, last day of the year). A report, similar to the one below, can be used to display the age of pending cases in time periods relevant to the court. Success in achieving a particular case processing time goal is easily monitored by referring to the Cumulative Percent column. In the example below, 85 percent of the General Civil cases are being disposed in 540 days or less, close to meeting the court's goal of resolving 90 percent within this timeframe.

Age of Active Pending Caseloads

General Civil

Age (days)	Number of Cases	Percent	Cumulative Percent
0-90	344	18%	18%
91-180	410	21%	39%
181-270	245	13%	52%
271-365	267	14%	66%
366-450	189	10%	76%
451-540	168	9%	85%
541-630	90	5%	90%
631-730	124	6%	96%
over 730	76	4%	100%
Total	**1,913**		

Felony

Age (days)	Number of Cases	Percent	Cumulative Percent
0-60	438	21%	21%
61-120	559	26%	47%
121-180	785	37%	84%
181-240	82	4%	88%
241-300	92	4%	92%
301-365	123	6%	98%
over 365	32	2%	100%
Total	**2,111**		

Approaches the court's goal of resolving 90% of cases within 18 months.

This measure should be used in conjunction with *Measure 2 Clearance Rates* and *Measure 3 Time to Disposition* to get an accurate picture of how a court is managing its caseload. For example, a court may have a high clearance rate, and score well on Measure 2, yet still be building up an inventory of older cases (evaluated by using Measure 4). This measure differs from *Measure 3 Time to Disposition* in that the cases being analyzed here have not reached a disposition in the court.

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Williamsburg, Virginia 23185
800-466-3063

To use this measure accurately, a court must be able to identify and count cases that have been *Placed on Inactive Status*. These are cases that have ceased movement toward a disposition as the result of events beyond the court's control (e.g., a defendant who absconds, the initiation of bankruptcy proceedings, etc.). The ability of a court to track its pending cases will also allow the court to return an *Inactive* case to *Active* status if the case has been *Reactivated*. At the time of measurement, the court should remove *Inactive* cases from the pending inventory because these cases are not directly comparable to *Active* cases and will exaggerate the age of the pending caseload.

This measure should be taken on a regular (e.g., monthly, quarterly, or annual) basis. The measure can be used to report age of the pending caseload for any case type. (Primary case types are defined in the *State Court Guide to Statistical Reporting*.)

Sampling

This measure should be calculated for all cases in the Active Pending inventory. However, sampling will be necessary in courts where case volumes are high if a complete report cannot be produced by the case management system. In most instances, a sample of 300 cases will be sufficient. To obtain a random sample requires: a list of all cases in the population, a unique identification number for each case, and a method for selecting cases. A straightforward method is systematic sampling where only the first case is randomly selected and then every nth case from a list is selected for the sample, i.e., if the total number of civil cases in a court was 3,000 and the sample size was to be 300 cases, select every tenth case (3000/300=10).

Which Cases Are Included?

Only *Active Pending* cases are included in this measure, and other cases should be excluded. Rules for counting, as defined in the *State Court Guide to Statistical Reporting*, are summarized below and illustrated in the figure.

The most straightforward cases to count are those that are moving through the system without interruption and are active and pending at the time of measurement.

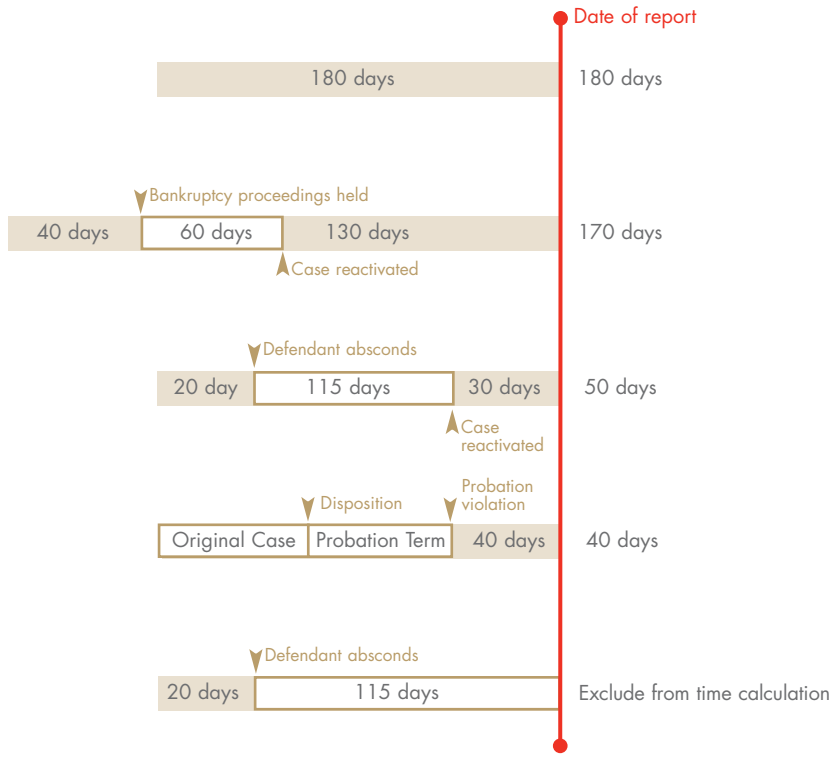
A second category are cases that had their progress interrupted and underwent a period of inactivity but were *Reactivated* by the court prior to the time of measurement. An example of this is a contract case that is *Placed on Inactive Status* pending the outcome of bankruptcy proceedings. Following those proceedings, the contract case resumes, and is counted as a *Reactivated* case (not as a new filing). Another example is a criminal case in which the case is filed and the defendant absconds for a period of time. The case is *Placed on Inactive Status* during this time, but when the defendant is apprehended and returned to court, and case is *Reactivated*.

Following those proceedings, the contract case resumes, and is counted as a *Reactivated* case (not as a new filing). Another example is a criminal case in which the case is filed and the defendant absconds for a period of time. The case is *Placed on Inactive Status* during this time, but when the defendant is apprehended and returned to court, the case is *Reactivated*.

A third category are cases in which judgment was previously entered, but which have been *Reopened* due to a request to modify or enforce existing judgments. These cases have been restored to the court's *Active Pending* caseload. For example, the court might grant a motion to consider newly discovered evidence, and thus reopen a case.

A fourth category are cases that should not be included in this measure. These are cases that are in an official period of inactivity at the date of report. As these cases are considered to be among the court's *Inactive Pending* cases (i.e., they are not moving toward disposition for a known and legitimate reason and the court is aware of this) they should be excluded from the analysis.

Time Calculation Examples



Appendix E. Sample Orders Directing Change of Status

The attached documents provide sample orders directing the change of status for a case. Please refer to the section Determination of Active/Inactive Status in this data collection plan for a full discussion.

IN THE CIRCUIT COURT OF THE _____ JUDICIAL CIRCUIT IN AND FOR _____ COUNTY, FLORIDA

_____
Plaintiff

CIRCUIT CIVIL DIVISION

vs.

_____
Defendant

UNIFORM CASE NO.: _____

ORDER PLACING CASE ON INACTIVE STATUS DUE TO:

This case came before the Court, and the Court has been advised that the Plaintiff/Defendant have/has moved to place the case on INACTIVE status due to:

☐ Bankruptcy stay, Case No._____ [**BKST**]

☐ Case pending resolution of another case, Case No._____ [**CPRC**]

☐ Written agreement of the parties [**BWAP**]

☐ Appeal pending [**AP**]

☐ Motion to stay or abate due to Department of Justice/Attorney General settlement [**DOJ/AG**]

☐ Other (a reason must be provided in writing by the presiding judge or designee) [**OTH**]

_____

The Clerk of Court is therefore directed to remove this case from the **ACTIVE** status, and designate it as an **INACTIVE** case category based on the reason checked above. The parties must return the case to active status by motion, with notice to all parties, within 30 days of the termination of grounds for inactive status, and seeking an order of court returning it to active status.

DONE and **ORDERED** in _____ County, Florida, this ____ day of _____ 20___.

_____
Presiding Judge or Magistrate

cc: Service List

IN THE CIRCUIT COURT OF THE _____ JUDICIAL CIRCUIT IN AND FOR _____ COUNTY, FLORIDA

_____
Plaintiff

CIRCUIT CIVIL DIVISION

vs.

_____
Defendant

UNIFORM CASE NO.: _____

ORDER RETURNING CASE TO ACTIVE STATUS DUE TO:

This case came before the Court, and the Court has been advised that the Plaintiff/Defendant have/has moved to place the case on ACTIVE status due to:

☐ Plaintiff/defendant stipulates that the bankruptcy stay has been lifted, Case No._____ [**BKST LFT**]

☐ Plaintiff/defendant stipulates that related case has been disposed, Case No._____ [**CPCS DISP**]

☐ By written agreement of the parties [**BWAP**]

☐ Plaintiff/defendant stipulates that pending appeal has been disposed [**AP DISP**]

☐ Plaintiff/defendant stipulates that Department of Justice/Attorney General review is complete [**DOJ/AG DISP**]

☐ Other (a reason must be provided in writing by the presiding judge or designee) [**OTH DISP**]

_____

The Clerk of Court is therefore directed to remove this case from the **INACTIVE** status, and designate it as an **ACTIVE** case based on the reasons checked above. The parties must return the case to active status by motion, with notice to all parties, within 30 days of the termination of grounds for inactive status, and seeking an order of court returning it to active status.

DONE and **ORDERED** in _____ County, Florida, this ____ day of _____ 20___.

_____
Presiding Judge or Magistrate

cc: Service List

Appendix J – Florida Supreme Court Standards for Electronic Access to the Courts

Florida Supreme Court Standards for Electronic Access to the Courts

Adopted June 2009
Adopted modifications May 2014

Version 14.0

TABLE OF CONTENTS

1.0. DEFINITIONS

Florida Courts E-Portal (E-Portal or portal) means a statewide access point for electronic access and transmission of court records to and from the Florida courts. All filers of court records, whether lawyers or non-lawyers, use the E-Portal for secure electronic access to all courts. The E-Portal is capable of accepting electronic filings from multiple sources, using common data elements passing to and from each local case system.

E-Filing means submitting court records for a filing in a case through electronic systems and processes in compliance with Florida Rules of Judicial Administration, Rule 2.525, and all other applicable rules of procedure. E-filing includes filing a court record with accompanying data elements necessary to either establish an index of records for new cases or associate the record with an existing case in the case management system. E-filing may also be referred to using the acronym ECF (Electronic Court Filing as established by The National Center for State Courts).

E-Filing Authority (aka Florida Courts E-Filing Authority) is the legal entity and public body, created by agreement dated September 3, 2010, between "Various Clerks of Circuit Courts of the State of Florida" and "The Clerk of the Florida Supreme Court, as the designee of the Chief Justice of the Supreme Court", and is subject to all applicable Florida statutes, Supreme Court rules and Administrative Orders that govern the individual clerks of court (county and appellate) in the performance of their record-keeping functions, as well as all Rules of Court relating to public records and all applicable laws and county ordinances relating to procurements by the clerks of the circuit court in their capacity as clerk of court. The Authority was created with the purpose to (i) design, develop, implement, operate, upgrade, support, and maintain the E-Filing Court Records Portal through contract with the Florida Association of Court Clerks, Inc. (FACC) and/or its wholly owned subsidiary FACC Services Group, LLC, (FACCSG); and (ii) provide the most economic and efficient method for e-filing court records.

E-Filing Authority Board of Directors refers to the governing body of the E-Filing Authority. The Board consists of the Chair of the Authority, seven clerks of the circuit court, and the Clerk of the Supreme Court.

Electronic Court Records means those records as defined in Florida Rules of Judicial Administration, Rule 2.430 filed with or maintained by the clerks of court in electronic format. Electronic court records are electronic records created, generated, sent, communicated, received, or stored by electronic means which are capable of being printed as paper, or transferred to archival media, without loss of content or material alteration of appearance. Court records may be created or converted to electronic formats by the filer and electronically filed with clerks of court who maintain them using electronic case maintenance systems. Court records that have been filed in paper format may be converted to searchable electronic records using scanning technology. Electronic court records shall constitute the official record and are the equivalent to court records filed in paper. A filing with a clerk of court shall be accomplished by electronic transmission as stated in Florida Rules of Judicial Administration, Rule 2.525.

Electronic Access to the Courts encompasses many levels of information, functionality, and case processing conducted in the judicial branch that may be completed by electronic means.

Electronic access to the courts may include technology that permits e-filing, electronic access to documents, electronic calendaring, case management systems, records management systems, statistics, resource management systems, and e-commerce.

2.0. FLORIDA COURTS E-PORTAL

The E-Portal shall provide capability for a single uniform access point for all court e-filings. The E-Portal shall be developed in compliance with all current e-filing rules as set forth in Rule 2.525, Florida Rules of Judicial Administration, and developed by the Supreme Court's Electronic Filing Committee and subsequently approved by Florida Courts Technology Commission (FCTC) or the Supreme Court. The E-Portal shall be developed to maintain interfaces with other existing statewide information systems.

2.1. E-Portal Functionality

The E-Portal shall have the following minimum functionality:

1. Single statewide login
2. Process for non-attorneys and for self-represented users to access the system
3. Uniform authentication method
4. Single point of access
5. Consolidated electronic notification section
6. Process for local validation
7. Automated interface with other e-filing systems
8. Utilize XML ECF 4.0. Standards
9. Accommodate bi-directional transmissions to/from courts
10. Integrate with other established statewide systems
11. Accept electronic forms of payment

3.0 REQUESTS FOR ELECTRONIC TRANSMISSION AND FILING OF DOCUMENTS

In accordance with Rule 2.525, Florida Rules of Judicial Administration, any clerk of court, with input and approval from the chief judge, must apply to the Supreme Court for authorization to accept the electronic transmission of documents. Specific testing criteria must be put into place and reported during a 90 day period. After an initial period of testing the e-filing system, a site review may be conducted to verify that the electronic system meets all testing criteria.

Requests to implement electronic filing shall include approval from the chief judge, including agreement by the court and the clerk which divisions will implement e-filing first. This will give both the court and the clerks of court adequate time to update the e-filing envelope as specified in Section 3.1.5. Electronic Filing Envelope - Data Accompanying Submitted Documents.

3.1. E-Filing Standards

3.1.1. Size of Filing

A single submission, whether consisting of a single document or multiple documents, shall not exceed 25 megabytes (25 MB) in size.

3.1.2. Document Format

Any information that will become part of, or is related to, a court case file, and which is being transmitted electronically to the clerk of court must be described in a format that can be rendered with high fidelity to originals and is searchable, tagged and complies with accessibility requirements in Chapter 282.601-606.

Appellate Court document formats will be adopted to improve the readability of the document image, improve the redaction process by providing standard fonts and font sizes, and provide consistency of appearance for images. Appellate court standards include Times New Roman font size 14 or Courier New font size 12.

3.1.3. Document Rendering

The clerk shall be able to render document images in searchable PDF format for viewer interfaces where the judicial viewer does not already provide searchable documents.

3.14. Document Binary File Name Standards

Due to restrictions enforced in Microsoft SharePoint, the following special characters are not allowed in a file name:

- Quotation mark (")
- Number sign (#)
- Percent (%)
- Ampersand (&)
- Asterisk (*)
- Colon (:)
- Angle brackets (less than, greater than) (< >)
- Question mark (?)
- Backslash (\)
- Slash (/)
- Braces (left and right) ({ })
- Pipe (|)
- Tilde (~)

Do not use the period (.) character consecutively in the middle of the file name. Do not use the period (.) character at the beginning of the file name or at the end of the file name.

File names may not end with any of the following strings:

- .files
- _files

- -Dateien
- _fichiers
- _bestanden
- _file
- _archivos
- -filer
- _tiedostot
- _pliki
- _soubory
- _elemei
- _ficheiros
- _arquivos
- _dosyalar
- _datoteke
- _fitxers
- _failid
- _fails
- _bylos
- _fajlovi
- _fitxategiak

In addition, file names cannot exceed 110 bytes in length, including spaces. Spaces must be counted as three (3) bytes each.

3.1.5. Electronic Filing Envelope - Data Accompanying Submitted Documents

Filers are required to transmit data identifying a submitted document, the filing party and sufficient other information for entry in the court's docket or register of actions. In the case of a document initiating a new case, sufficient other information must be included to provide data to support the creation of a new case in the court's case management information system.

This required information will be submitted in a uniform e-filing envelope, in compliance with current rules of procedure. The Florida Courts Technology Commission (FCTC) has established, and shall update as necessary, the requirements for the e-filing envelopes for each division and court type. The e-filing envelope will be maintained on the e-filing system of each court.

The e-filing envelope shall be designed to collect the data elements in .XML format that support the filing, indexing, docketing, calendaring, accounting, reporting, document development, case management and other necessary functions of the court.

In an effort to reduce redundant data entry, emphasis is placed on providing the ability to extract text from the electronic submission. For this process, word processing, .PDF or .XML file formats created by text based processors are required. Facsimile transmissions will not be allowed because they do not allow for automatic extraction of data.

3.1.6. Uniform Personal Identification

Uniform personal identification standards are necessary to promote electronic filing. Each person provided with a unique identifier for purposes of filing documents electronically must use that identifier when e-filing. Submissions filed will be presumed to have been filed by the person assigned to the unique identifier provided with the submission.

All electronic filing information systems must support the use of a uniform personal identifier. Existing systems must convert to, and comply with, the E-Portal's unique identifier requirement.

3.1.7. Electronic Notification of Receipt

All submissions must generate an acknowledgment message that is transmitted to the filer to indicate that the portal has received the document.

At a minimum the acknowledgment must include the date and time the submission was received (which should be the clerk of court's official date/time stamp), and a court assigned case number, if available, or document reference number.

3.1.8. Security

Any computer utilized to accept e-filings, particularly from sources external to the court, must be protected from unauthorized network intrusions, viruses, and worms, and must be isolated from other court networks or applications. Software and security devices such as antivirus software, firewalls, access control lists, and other filters must be utilized. Media capable of carrying viruses into court and clerk of court computers (e.g., computer networks and electronic media) must be scanned for viruses prior to processing.

3.1.9. Filing Process and Payment

E-filing systems shall support both an interactive filing process and a batch (non interactive) process. E-filing systems shall support electronic payment methods.

3.1.10. Web Based Application Standards

All court based e-filing processes will use Internet based open standards architecture as defined in the following:

- Rule 2.525, Florida Rules of Judicial Administration
- ECF 4.0 (National Center for State Courts (NCSC) – Electronic Court Filing Standard)
- Standards as defined in this document

Other reference sources of information may include:

- Consolidated Case Management System Functional Standard V.0.20 (NCSC)

3.1.11. Legal Transmission Envelope

Any electronic document or information submitted to a court with an initial filing or any subsequent case action must be transmitted using a data structure that provides universal access at any court. A submission, whether consisting of a single document or multiple documents, shall not exceed 25 megabytes (25 MB) in size.

The e-filing system shall perform a validation of the submission to detect any discrepancies (such as incomplete data) or other problems (viruses) prior to being submitted to the courts. Where possible, the filer will be notified immediately if the e-filing system detects discrepancies or other problems with the submission. The validation rules will be specific to the type of submission (for example: new case initiation as opposed to filings in an existing case).

3.1.12. Court Control of Court Documents - Data Storage

Original court data must be physically located in Florida to ensure that the original court record will be within the State of Florida on technology which is under the direct control of the Supreme Court and in the custody of the clerks of court. Copies of data may be stored within or outside the State of Florida for the purposes of disaster recovery/business continuity.

3.1.13. Local Document Receiving

When information has been submitted electronically to the Clerk of Court's Office, via the Florida Courts E-Portal, the Clerk of Court will review the filed document and determine whether it contains the required information for placement into the clerk's case maintenance system. If, during the local document receiving process a determination is made that the filed document conflicts with any court rules or standards, then the clerk shall place the filed document into a pending queue. A filing may be placed in a pending queue for any reason that prevents the filing from being accepted into the clerk's case maintenance system, e.g. documents that cannot be associated with a pending case; a corrupt file[1]; or an incorrect filing fee.

Once placed in a pending queue, the clerk shall attempt to contact the filer and correct the identified issue(s). The filing will remain in a pending queue for no more than 5 (five) business days, after which time the filing will be docketed, as filed, and processed for judicial review.

3.1.14. Time Stamp

For purposes of determining timeliness, a filing shall be deemed filed on the date and time the electronic filing is received at the portal. The portal's official file stamp date and time will be affixed in the upper left hand corner. A "Filing Received" receipt email will be sent to the filer. An electronic filing may be submitted to the portal at any time of the day or night, twenty four (24) hours a day seven days a week. However, the filing will not be official information of record until it has been stored on the clerk's case maintenance system.

[1] Document(s) that cannot be open or read

3.1.15. Document Fidelity and Authenticity

All documents filed electronically must be printable as paper documents without loss of content or appearance. A mechanism must be provided to ensure the authenticity of the electronically filed document. This requires the ability to verify the identity of the filer and the ability to verify that a document has not been altered after it was transmitted.

3.1.16. Embedded Hyperlinks

Hyperlinks embedded within a submission should refer only to information within the same document, or to external documents or information sources that are reasonably believed to be trustworthy and stable over long periods of time. Hyperlinks should not be used to refer to external documents or information sources likely to change.

3.1.17. Exhibits

Each exhibit accompanying a document shall be separately attached and denominated with a title referencing the document to which it relates. Each exhibit shall conform to the filing size limitation in Section 3.1.1. To the extent an exhibit exceeds the size limitation each portion shall be separately described as being a portion of the whole exhibit (e.g., Exhibit A, Part 1 of 5, Part 2 of 5, etc.).

Each documentary exhibit marked for identification or admitted into evidence at trial shall be treated in accordance with Florida Rule of Judicial Administration 2.525(d)(4) or (6), and then converted by the clerk and stored electronically in accordance with rule 2.525(a).

3.1.18. Documents Exempt from Public Access

All filers must comply with the privacy/confidentiality provisions of Florida Rules of Judicial Administration 2.420, and the prevention of unauthorized filings (minimization) provisions of Rule 2.425. These requirements apply to all documents, including attachments.

If a filer who electronically files a document containing information identified as exempt from public access pursuant to Rules 2.420 and 2.425, Florida Rules of Judicial Administration, the filer shall indicate that the document contains confidential or sensitive information. Documents that are exempt or claimed to be exempt from public access shall be processed pursuant to Rules 2.420 and 2.425.

The filer will be required to certify that either

a. the filing transmitted through the portal, including all attachments, contains no confidential or sensitive information; **or**

b. the filing transmitted through the portal, including all attachments, contains confidential or sensitive information and the filing has been properly protected by complying with the provisions of Rules 2.420 and 2.425, Florida Rules of Judicial Administration.

3.1.19. Emergency Filing

If a filer electronically files a document that is considered an emergency, the filer shall indicate that the filing is an emergency.

3.1.20. Archiving

Electronic documents shall be archived in a manner that allows for presenting the information in the future without degradation, loss of content, or issues with software compatibility relative to the proper rendering of electronic documents.

3.1.21. Accommodation of Paper Submissions

If permitted by the court, documents that are submitted in paper form shall be converted to an electronic format (i.e. a searchable document) to facilitate the creation of a single electronic case file.

3.1.22. Public Access

Public access to electronically filed documents must be provided in accordance with the judicial branch policy on access to court records. Electronic documents must comply with Section 3.4 of this document.

3.1.23. Self-Represented Litigants

Self-represented litigants shall be provided a means to file documents electronically (i.e. public computers available at clerks of court offices).

3.1.24. Adding a Party

The e-filing system shall facilitate the addition of parties after the initial pleading is filed.

3.2. TECHNICAL FAILURE

Leading paragraph was deleted at the FCTC October 17, 2013 meeting.

3.2.1. Determination of failure and effect on due date (this section was deleted at the FCTC October 17, 2013 meeting)

3.2.2. Procedure Where Notice of Electronic Filing Not Received (this section was deleted at the FCTC October 17, 2013 meeting)

3.2.3. Retransmission of Electronic Filing

If, within 24 hours after filing information electronically, the filer discovers that the version of the document available for viewing through the Electronic Case Filing System is incomplete, garbled or otherwise does not depict the document as transmitted, the filer shall notify the Clerk of Court immediately and retransmit the filing if necessary.

3.2.4. System Availability and Recovery Planning

Computer systems that are used for e-filings must protect electronically filed documents against system and security failures during periods of system availability. Additionally,

contingencies for system failures and disaster recovery mechanisms must be established. Scheduled downtime for maintenance and updates should be planned, and a notification shall be provided to filers in advance of the outage. Planned outages shall occur outside normal business hours as determined by the Chief Judicial Administrative Officer of the Court. E-filing systems shall comply with the security and backup policies created by the Florida Courts Technology Commission.

Plan 1: Contingency Plan

Timeframe: Immediate - during normal working hours.

Scope: Localized system failures while court is still open and operational. This plan will also be put into operation while COOP and Disaster Plans are under way.

Operational Levels: Levels of operation will be temporarily limited and may be conducted in electronic or manual processes. Since court will still be open, this plan must address how documents will be received while the system is down.

Objectives:

- Allow the court to continue with minimum delays by providing a temporary alternate solution for access to court files.
- Conduct tests to verify the restoration process.
- Have local and local off site backup of the operating system, application software, and user data available for immediate recovery operations.
- Identify areas where redundancy is required to reduce downtime, and provide for hot standby equipment that can be utilized in the event the Contingency Plan is activated.

Plan 2: Business Continuity/Disaster Recovery

Timeframe: Disaster dependent, varies.

Scope: Declared disasters either local or regional that impact the geographic area.

Operational Levels: Temporarily unavailable or limited until facilities are deemed functional or alternate facilities can be established. Mission Essential Functions defined the Supreme Court's COOP for the affected area must be addressed in the designated priorities and timeframes.

Objectives:

- Allow court operations to recover in the existing location or alternate facility
- Provide cooperative efforts with impacted entities to establish access to court files and allow for the continuance of court proceedings
- Provide in the Contingency Plan a temporary method to meet or exceed Mission Essential Functions identified in the Supreme Court's COOP.

- Provide another tier level of recoverability by having a backup copy of the operating system, application software, and user data in a protected environment outside of the local area not subject to the same risks as the primary location for purposes of recovery according to standards approved by the FCTC.
- This plan may provide another out-of-state tier for data backup provided that the non-local in-state tier is established.

3.3. CONSIDERATION OF RECOMMENDED COURT REQUIREMENTS

3.3.1. Access to the Public

The Clerk of Court shall provide to the public free access to local court records, which are not confidential, in paper or electronic format, as authorized by statute, court rule or Administrative Order of the Supreme Court.

3.3.2. Access to the Judiciary and Court Staff

The Clerk of Court shall provide to the judiciary and court staff electronic access to local dockets, calendars and other electronic court records as authorized by statute, court rule or Administrative Order of the Supreme Court.

3.4. ADA AND TECHNOLOGY COMPLIANCE

Accessibility Requirements

Accessibility standards for electronic and information technology are covered by federal law, known as Section 508 of the Rehabilitation Act of 1973 (as amended), which lists standards necessary to make electronic and information technology accessible to persons with disabilities. These standards, together with the requirements of the Americans with Disabilities Act and Florida law, must be met. References to these requirements throughout this document will be noted as "Section 508, Florida law and the ADA".

The following list provides reference information for understanding the requirements of Section 508, Florida law and the ADA:

- Chapters 282.601-282.606, Fla. Stat. – The Florida Accessible Electronic and Information Technology Act
- Section 508 of the Rehabilitation Act of 1973 (as amended) – United States Federal Access Board: Electronic & Information Technology Accessibility Standards (http://www.access-board.gov/gs.htm)
- The Americans with Disabilities Act of 1990 (ADA)

  Other reference sources of information may include:
  - World Wide Web Consortium (W3C) Web Access Initiative Guidelines (http://www.w3.org/)

- ADA Best Practices Tool Kit for State and Local Governments – Chapter 5, Website accessibility Under Title II of the ADA: http://www.ada.gov/pcatoolkit/chap5toolkit.htm
- Section 508 – (http://www.section508.gov)

All technology and information used to support creation of an electronic case file and to provide access to court records will comply with statutes (federal and state), court rule, Administrative Order issued by the Supreme Court, court technology standards, and the Florida AeIT Bill [Accessible Electronic and Information Technology], s. 282.601-282.606. Fla. Stat.

Additionally, all e-filing applications submitted for approval include a "Statement of Accessibility/Certification."

4.0. ELECTRONIC PROCESSES - JUDICIAL

The integrity of and efficient delivery of information to the judiciary are primary goals. Any electronic processes that involve the judiciary must be approved by the judiciary prior to implementation.

4.1. Delivery of Electronic Case Files

An electronic case file being provided to the court should meet or exceed the capabilities and ease of use provided by a paper case file. Electronic documents shall be available to court officers and personnel in a manner that provides timely and easy access, and shall not have a negative operational impact on the court. The court shall have the opportunity to review and approve any changes to the current business process before the system may be implemented.

Any system that intends to deliver electronic files instead of paper files in part or in total that impacts the judiciary, that involves electronic workflow, functionality, and electronic document management service must be approved by the judiciary before the paper files may be discontinued. The Clerk of Court must be able to deliver paper case files upon request until the electronic case file delivery system is fully accepted by the judiciary. The electronic file created by the Clerk of Court shall be made available and delivered to the judiciary in a manner that provides improved workflow and document management service to the judiciary and court staff. At a minimum, the system must have search capability to find cases, have the ability to incorporate digital signatures, the ability to attach notes to cases, and be able to print specific portions or all pages of a document. The system must have logging capabilities for events such as failures, outages, correction of case file numbers, deletion of documents, and rejections due to incorrect filing or unusable documents due to poor quality images. Documents in an electronic file shall be available for viewing by the court immediately upon acceptance and validation by the clerk of court.

The court must validate that the electronic case file is accurate, reliable, timely, and provides needed reporting information, and is otherwise acceptable as part of its review and acceptance process.

4.2. Courtroom Delivery and Functionality

To meet the basic requirements of timeliness in a court environment, access to electronic court records should be almost instantaneous with a retrieval time of one to three seconds for cases on the daily calendar, five to eight seconds for cases that have had activity during the past 60 days, and 30 seconds for closed or inactive cases. The system should provide some method to notify the requesting entity if a longer time delay will occur, such as when a case has been archived.

Additionally, the system shall be capable of printing on demand. The system shall be able to print selected pages within a file, print excerpts from pages, etc. within a reasonable amount of time.

Simultaneous access for multiple courtroom participants to view the same case file or document shall be provided. The electronic display should present information to courtroom participants that enables any person to immediately retrieve docket and case-specific information in a manner that is no more difficult than paging through a paper file.

There shall be a method to word search for and select specific documents for viewing. Regardless of the document retrieval techniques employed, a viewer shall have the ability to quickly page, in horizontal and vertical format, through an electronic document or a case file. Word search capabilities shall be provided within the documents at various levels of functionality as defined by the judiciary.

Forms and documents that a judge or other courtroom personnel normally prepare during a particular proceeding shall be electronically prepared, reviewed, signed, printed, and distributed as another function supported by the electronic case management system. As these newly created electronic documents are created, they shall be simultaneously filed within the case.

According to the NCSC document Standards for Electronic Filing Processes (Technical and Business Approaches) -

> "to avoid the unintended connotation associated with the term "electronic filing" that may be interpreted as referring only to the process by which documents are submitted to a court for filing."

The submission process is only one part of a comprehensive electronic documents system. Focusing only upon the initial filing de-emphasizes most of the potential benefits of electronic filing. The failure to consider electronic filing as one part of

a much larger process will result in an expensive system with limited utility to court users such as judges, lawyers, litigants, and court staff. The term "Electronic Filing Processes" is preferable to "Electronic Court Documents" which might apply only to court imaging systems that create electronic documents by scanning paper filings. (The term "Electronic Court documents" includes standards for document management systems, which are not within the scope of these standards.) The term "Electronic Filing Processes" incorporates converting paper documents to electronic images, as an ancillary process for capturing historical documents not created for the purpose of litigation and for converting paper documents submitted by parties incapable of using electronic filing means. An Electronic Filing Process relies upon submission of the great bulk of documents in electronic form without requiring the routine use of paper at any step in the process.

5.0. ELECTRONIC SIGNATURES

5.1. Signatures of Registered Users

A submission by a registered user is not required to bear the electronic image of the handwritten signature or an encrypted signature of the filer. Electronic signatures may be used in place of a handwritten signature unless otherwise prohibited by law. The information contained in the signature block shall meet the following required elements defined in Rule 2.515(a) and (b), Florida Rules of Judicial Administration. Electronic signature formats of s/, /s or /s/ are acceptable. Additional information is optional.

Attorney Example
s/ John Doe
Bar Number 12345
123 South Street
City, FL 12345
Telephone: (123) 123-4567

ProSe Example
s/ Jane Doe
123 North Street
City, FL 12345
Telephone: (123) 123-4567

5.2. Multiple Attorneys of Record Signatures

When a filing requires the signatures of two or more attorneys of record:

> The filing attorney shall initially confirm that the content of the document is acceptable to all attorneys required to sign the document and shall obtain the signatures of all attorneys on the document. For this purpose, physical, facsimile, or electronic signatures are permitted.

The filing attorney then shall file the document electronically, indicating the signatories, (*e.g.*, "s/ Jane Doe," "/s John Smith," "/s/ Jane Doe Smith," etc.) for each attorney's signature.

5.3. Original Documents or Handwritten Signatures

Original documents, such as death certificates, or those that contain original signatures such as affidavits, deeds, mortgages and wills must be filed manually until further standards have been adopted.

5.4. Judge Signature

Judges are authorized to electronically sign all orders and judgments. If digitized signatures of judges are stored, they are to be placed at a minimum 256 bit encryption and protected by user authentication.

5.4.1. Security

An electronic signature of a judge shall be accompanied by a date, time stamp, and the case number. The date, time stamp, and case number shall appear as a watermark through the signature to prevent copying the signature to another document. The date, time stamp, and case number shall also appear below the signature and not be obscured by the signature.

5.4.2. Functionality

The ability to affix a judicial signature on documents must include functionality that would improve the process. This functionality at a minimum should include the following:

1. The ability to prioritize documents for signature.
2. Allow multiple documents to be reviewed and signed in a batch in addition to individually.
3. The judge must have the ability to review and edit, reject, sign and file documents.
4. Have a standard signature block size on the document.
5. Allow forwarding of queued documents to another judge for signature if the primary judge is unavailable.
6. After documents are signed or rejected, they should be removed from the queue.
7. Have the ability to electronically file the signed documents into the case management system to be electronically distributed to all appropriate parties.

6.0. CASE MANAGEMENT SYSTEM DESIGN FRAMEWORK

6.1. Overview

Section 16 of Senate Bill 1718 requests that the court establish standards for electronic filing including the "… duties of the clerks of court and the judiciary for case management." This section addresses case management.

In pursuit of the mission and vision of the Florida Judicial Branch, the courts are committed to an effective, responsive and accountable judicial system. While understanding that the quality of justice cannot be measured solely by statistics and reports, the court believes that case information is critical to its efficient management of judicial cases and it should form one cornerstone of sound court management. To that end, the Florida court system must establish a uniform statewide case management system that will provide reliable and accurate case data.

A case management system can broadly be considered the set of functional standards and requirements and the resultant collection of programs, utilities, and protocols that collectively provide for initiation, processing, tracking management and reporting of cases through the judicial system. In addition to enabling the efficient flow of day to day operations, an effective case management system must provide for comprehensive and uniform reporting of case level and court activity data as required for overall court management. This critical collection and reporting component ensures fundamental accountability for efficient and effective management of court activity at all levels of the courts.

This case management system framework design contains sufficient detail to provide immediate guidance to clerks of court and other stakeholders with respect to their duties and responsibilities to the court while remaining general enough to provide for the incremental development required for this complex project. The framework builds upon existing case management work and strives to present a consistent method for system development. It presents a standard definition for a case management system and outlines the guiding design principles to be applied at all levels. Applying these principles will ensure a viable case management system that encapsulates flexibility, modularity, consistency, quality, reporting and accountability, and accessibility. This case management system is expected to incorporate case maintenance as well as case management functionality.

6.2. Appellate Case Management

Although the legislature did not specifically direct the clerks of the appellate courts to commence electronic filing by October 1, 2009, providing the appellate courts with electronic courts capability is equally important. The appellate courts and the Supreme Court cannot accept electronic records from appeals from the trial courts if they do not have the capacity to receive and store documents electronically. In any appellate electronic filing and case management system, additional functionality must be included. Particularly, collaboration elements are essential to any appellate court system, as all decisions require review by at least three judges in the appellate courts and more in the Supreme Court. The appellate courts have already attempted to design a system but funding issues prevented further development. They are currently exploring other systems. Additional funding will be necessary to make the appellate courts and

the Supreme Court electronic, but the investment will save operational costs just as it will in the trial courts.

6.3. Design Guidelines

The case management system design will be based upon the work of the Commission on Trial Court Performance and Accountability (TCP&A), in collaboration with the Florida Courts Technology Commission (FCTC) as outlined in Supreme Court Administrative Order AOSC10-48, IN RE: Commission on Trial Court Performance and Accountability, specially through the Trial Court Integrated Management Solution (TIMS) project.

Key concepts in the design of this uniform case management system are flexibility, modularity, consistency and quality. The complexity of a uniform system dictates that it be developed as an interoperable suite of component modules such as e-filing or civil case management, rather than as one monolithic application. To ensure that users obtain the most benefit from this system as quickly as possible, design managers must ensure that each component provides significant, if not full, functionality without critical dependence on other, as yet undeveloped, components. Interoperability and independence require that each component include the intrinsic capability to share data and other common resources in a consistent manner across all components of the system.

Such interoperability is a challenge, given that the case management needs of the various divisions of court and of court programs differ significantly. However, every effort should be made to define a common framework upon which the case processing components for each division of court and court program can be based. For example, existing standards define a cross divisional case flow with the following common functional components:

- Case Initiation and Indexing
- Docketing and Related Record Keeping Function
- Schedule and Case Management
- Ticklers, User Alerts & Automated Workflow and Forms Generation
- Document Processing
- Calendaring
- Hearings
- Disposition
- Case Closure
- Accounting
- Audit Trail Management
- File Archival and Destruction
- Document Management
- Exhibit Management
- Statistical Reports
- Management Reports
- Electronic Designation of Appellate Records

Technical standards will be updated in conjunction with the Trial Court Integrated Management Solution (TIMS) project, directed by the Commission on Trial Court Performance and Accountability. The FCTC has established a technical standards committee to work with the TCP&A on appropriate updates.

Actual implementation of the uniform case management system components may require additions or deletions to these specifications to ensure that the final system is relevant to the case and data management issues facing court managers today and in the future. However, frequent changes, even those that are considered necessary, can negatively impact systems development and usability leading to inefficient or ineffective systems. The development plan for each component should provide for periodic expansion cycles to ensure that the case management system remains responsive to evolving court needs and to changes in statutes or rules of court.

One purpose of any case management system is to facilitate the administration of case activity within the courts and to provide court managers with the supporting information that is necessary to effectively manage that activity. Consequently, it is critical that the system remain relevant to its users at all levels of court. This is achieved by recognizing the information needs of the users and by facilitating the addition of new elements as required through a well defined and responsive expansion process. Data that is collected should be available in a timeframe that best fits the needs of the users. The system should provide the capability for case management users to easily extract data or perform non-standard query actions as required by emerging needs.

As an integral aspect of general design, system development should incorporate quality elements such as specific input data validations and mechanisms for monitoring and correcting data that fail validation as close to the input level as possible. Data should be checked for inadmissible data combinations, incompatible data, and missing data. The system should provide for the straightforward correction of data at the level closest to origination which includes the point of document submission. This will increase the likelihood that data will be accurate and reliable and reduce the amount of effort that must be expended to ensure that accuracy. Additionally, the case management system should provide for macro level quality evaluation including audit trails, automated checks and reasonableness reviews by subject matter experts. System design should ensure that conducting these evaluations on a regular basis is a simple and straightforward process.

All case management system components should be designed to easily allow for two-way sharing of data with other internal system components and with external sources at the state or national level. Wherever possible, the case management system should implement statewide and national standard concepts and classifications and a common methodology for data representation and transfer. This would allow data from multiple sources both within and without the court system to interoperate seamlessly within the context of case management and reporting.

6.4. Current Data Collection Systems

Existing data collection systems provide critical management data to the courts at all levels. The modular nature of the development process for a case management system requires the careful

consideration of existing reporting requirements to ensure that completion of one component of the system does not inadvertently reduce the quality or quantity of data currently collected. The court has several critical data collection and reporting mechanisms currently in place, such as are detailed in Florida Rules of Judicial Administration 2.240, 2.245 and 2.250 and §25.075, Florida Statutes and other relevant rules and statutes. These reporting mechanisms cannot and should not be abandoned prematurely. Although every effort will be made to consolidate data collection and reporting mechanisms during the development process, clerks of court, circuit court administration and other reporting entities should expect to continue data collection and reporting under the appropriate guidelines until directed otherwise by the courts.

6.5. Security and Confidentiality

All case management components should employ the utmost care in ensuring the confidentiality of case records as appropriate and at all levels of case and data processing. Redaction software should be deployed as appropriate to ensure that confidentiality is protected on display or archive. Appropriate security and encryption measures should be built into the system so that the transfer and storage of data within the system does not expose sensitive data to unauthorized access. Statutory requirements for retention, availability, display and purging of cases that are sealed or expunged or otherwise restricted should be strictly and programmatically enforced. System design should provide for the secure deletion of case records as necessary across separate system components.

6.6. Other Standards

As individual case management components are developed, similar work at the national level should be considered. For example, the National Center for State Courts (NCSC) has identified the general movement of a case through the judicial system as presented in their "Introduction to Function Standards, Draft February 2, 2001." The NCSC has also provided a series of general Case Management Standards which may serve as a resource in the development process. However, no uniformly accepted national standards exist. Consequently, systems design methodology managers should review the standards articulated by the National Center for State Courts in their Case Management Standards (http://www.ncsconline.org/d_tech/standards/default.asp) for applicability to individual case management components and incorporate those standards which are determined to be relevant to an efficient and effective Florida case management system.

7.0. REPORTS

Electronic systems must provide reports that can provide information to the judiciary regarding case management and administration, and be flexible enough to provide custom queries and reports as needed.

At a minimum, court case management systems (CMS) must have the ability to produce immediate access to online, electronic performance statistics. The performance statistics shall include but not be limited to printed monthly reports by judge, docket and division on cases filed and disposed by case type, up to date listing and count of cases pending by case type, case track

and age from date of complaint, active/inactive and scheduling status, date and type of next scheduled event, case disposed by type of disposition, time to disposition of cases disposed during the reporting period.

8.0. GOVERNANCE

A Governance Structure shall be established to make certain that initiatives regarding electronic access to the court meet established standards, maximize or improve workflow processes, improve accessibility to the court, and allow stakeholders to communicate in a manner that allows for effective integration of systems.

Integration of systems, such as e-filing and case management, offers many opportunities to be more cost effective and efficient. Integration brings with it the critical need for collaboration among stakeholders who share an interest in using the information, content of information, and the functionality of software applications. The introduction of new systems or changes to existing systems with the goal to improve processes may also bring with it unintended negative impact upon others who have a shared interest or need.

The goals of governance are to provide the following:

1. A process whereby new systems or major changes to existing systems may be vetted to maximize workflow and to reduce potential negative impact and implementation issues.

2. A process to verify that at all times the system meets required standards and rules, so that the person who seeks to acquire new systems or change an existing system may seek and receive approval to do so.

3. A means for needed changes in business workflow to be accepted and implemented into the organizational culture.

Appendix K – FY 2014-15 Foreclosure Initiative April 2015 Status Report

FY 2014/15 Foreclosure Initiative
April 2015 Status Report
Number of Foreclosure Initiative Pending Cases
By Circuit

Circuit	Pending Cases as of June 2012[1]	Pending Cases as of June 2013[2]	Pending Cases as of June 2014[3]	Pending Cases as of March 2015	Foreclosure Initiative Statistics[4] (Run date: August 4, 2015) Data Amendments since the March 2015 Status Report	April 2015 Filings	April 2015 Dispositions	Pending Cases as of April 2015[5]
1	9,929	9,556	4,930	2,750	-27	241	276	2,688
2	3,463	3,689	1,840	1,306	11	134	123	1,328
3	1,260	1,236	631	519	-2	45	63	499
4	19,742	19,828	9,252	5,928	-8	379	877	5,422
5[6]	14,686	13,640	8,849	5,543	1,769	538	841	7,009
6	28,806	28,611	16,261	10,862	6	450	1,182	10,136
7	18,462	17,867	7,185	4,367	21	319	614	4,093
8	1,902	1,836	1,287	1,089	-1	97	92	1,093
9	33,512	27,336	11,584	5,274	679	513	1,399	5,067
10	9,171	8,977	4,727	2,896	13	258	376	2,791
11	52,211	36,389	17,303	12,021	64	658	1,023	11,720
12	16,629	14,109	6,337	3,942	-37	144	361	3,688
13	27,939	21,992	13,470	9,237	-21	400	751	8,865
14	3,400	3,359	1,790	1,290	2	87	164	1,215
15	32,977	27,651	11,671	5,816	-1	465	912	5,368
16	1,723	1,533	500	331	-7	30	32	322
17	45,118	40,373	20,206	9,463	27	650	1,476	8,664
18	27,723	25,391	8,079	4,536	27	289	678	4,174
19	13,699	10,791	4,370	2,628	-318	244	320	2,234
20	15,355	15,007	9,219	4,621	-83	297	676	4,159
Total	**377,707**	**329,171**	**159,491**	**94,419**	**2,114**	**6,238**	**12,236**	**90,535**

[1] Pending cases as of June 2012 was determined by subtracting the number of SRS Real Property/Mortgage Foreclosure dispositions from the number of filings from August 2006 through June 2012.

[2] Pending cases as of June 2013 was determined by subtracting the number of SRS Real Property/Mortgage Foreclosure dispositions from the number of filings from August 2006 through June 2013.

[3] Pending cases as of June 2014 was determined by subtracting the number of SRS Real Property/Mortgage Foreclosure dispositions from the number of filings from August 2006 through April 2014. Pending cases for May and June 2014 are based on dynamic data reported as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan.

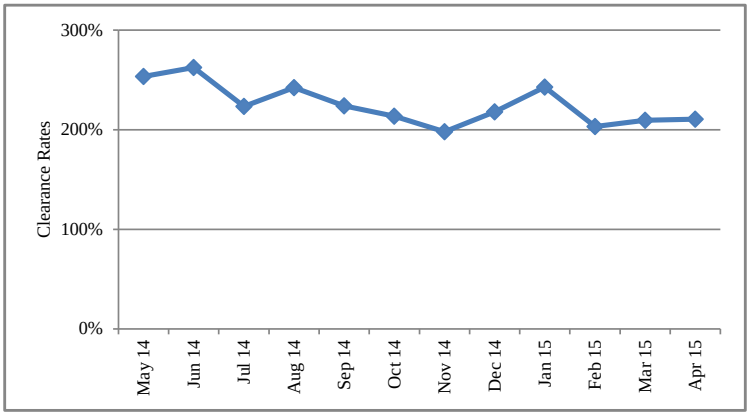
[4] Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters). Additionally, these statistics are subject to amendments by the Clerk of Court. The result of these amendments are provided in the column labeled Data Amendments since the March 2015 Status Report.

[5] Pending cases as of April 2015 was determined by subtracting the number of April 2015 dispositions from the sum of pending cases as of March 2015, April 2015 filings, and Clerk of Court amendments.

[6] Due to a recent conversion to a new Case Management System (CMS), the Marion County Clerk's Office discovered reporting inconsistencies, some of which are conversion related and some of which are not. The Marion County Clerk's Office is working with their CMS vendor (Civitek) to resolve these issues and will submit data amendments as quickly as possible.

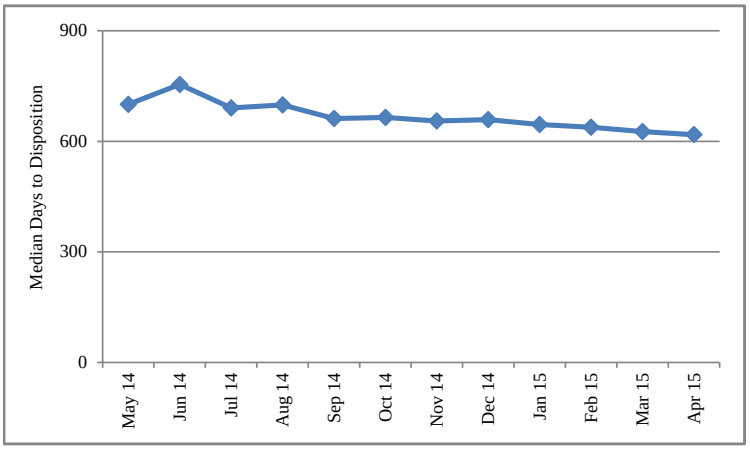
FY 2014/15 Foreclosure Initiative
April 2015 Status Report
State Total
(Run Date: August 4, 2015)

Clearance Rates (does not include reopened and inactive cases)



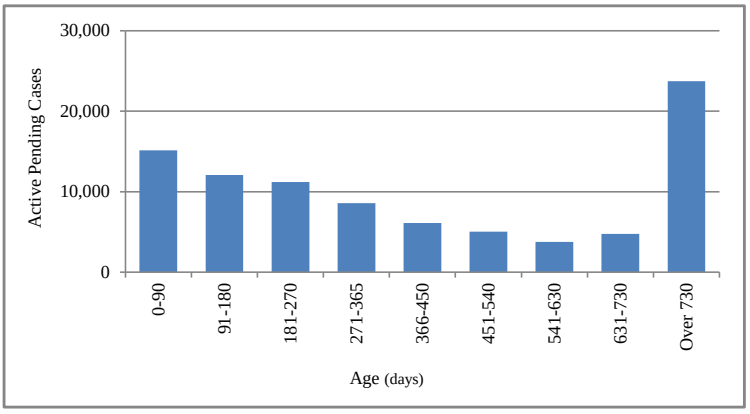
Report As of	Clearance Rate
5/31/2014	254%
6/30/2014	262%
7/31/2014	223%
8/31/2014	242%
9/30/2014	224%
10/31/2014	214%
11/30/2014	198%
12/31/2014	218%
1/31/2015	243%
2/28/2015	203%
3/31/2015	210%
4/30/2015	211%

Mean Days to Disposition (does not include reopened and inactive cases)



Report As of	Mean Days to Disposition
5/31/2014	700
6/30/2014	754
7/31/2014	690
8/31/2014	699
9/30/2014	662
10/31/2014	665
11/30/2014	655
12/31/2014	659
1/31/2015	646
2/28/2015	638
3/31/2015	626
4/30/2015	618

Age of Active Pending Cases (does not include reopened and inactive cases)



Age (days)	Active Pending Cases	Percent of Total
0-90	15,150	17%
91-180	12,085	13%
181-270	11,217	12%
271-365	8,603	10%
366-450	6,128	7%
451-540	5,047	6%
541-630	3,794	4%
631-730	4,762	5%
Over 730	23,749	26%
Total	**90,535**	**100%**

Note: Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters). Additionally, these statistics are subject to amendments by the Clerk of Court.

FY 2014/15 Foreclosure Initiative
April 2015 Status Report
Clearance Rates[1]

By Circuit (Run Date: August 4, 2015)

Circuit	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15
1	228%	198%	181%	138%	134%	166%	155%	146%	152%	115%
2	143%	114%	147%	119%	164%	145%	173%	179%	176%	92%
3	109%	96%	170%	106%	90%	130%	130%	98%	98%	140%
4	145%	179%	190%	147%	181%	224%	234%	161%	187%	231%
5	177%	178%	175%	198%	174%	172%	211%	156%	176%	156%
6	201%	202%	183%	189%	175%	220%	266%	253%	243%	263%
7	207%	236%	219%	171%	161%	167%	177%	198%	165%	192%
8	80%	162%	170%	81%	125%	145%	68%	113%	136%	95%
9	217%	254%	269%	232%	179%	197%	268%	234%	294%	273%
10	160%	171%	148%	172%	166%	186%	177%	132%	176%	146%
11	177%	269%	228%	194%	159%	219%	135%	146%	143%	155%
12	219%	170%	199%	346%	228%	184%	229%	186%	284%	251%
13	203%	245%	207%	197%	221%	206%	248%	203%	206%	188%
14	144%	228%	208%	124%	188%	170%	87%	150%	85%	189%
15	314%	243%	290%	215%	224%	240%	267%	223%	196%	196%
16	118%	150%	156%	241%	272%	112%	177%	188%	148%	107%
17	316%	324%	240%	255%	217%	307%	329%	223%	238%	227%
18	248%	273%	219%	265%	225%	171%	310%	227%	165%	235%
19	184%	207%	175%	173%	188%	163%	209%	184%	173%	131%
20	201%	215%	213%	249%	250%	225%	277%	233%	257%	228%
Total	**223%**	**242%**	**224%**	**214%**	**198%**	**218%**	**243%**	**203%**	**210%**	**211%**

[1] Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters).

FY 2014/15 Foreclosure Initiative
April 2015 Status Report
Age of Active Pending Cases and Percent of Cases Over 730 Days[1]
By Circuit (Sorted by percent of cases over 730 days), Run Date: August 4, 2015

	Number of Cases										
Circuit	0 to 90 Days	91 to 180 Days	181 to 270 Days	271 to 365 Days	366 to 450 Days	451 to 540 Days	541 to 630 Days	631 to 730 Days	Over 730 Days	Total Cases	Percent of Cases Over 730 Days
13	982	774	711	604	443	482	404	459	4,006	8,865	45%
6	1,129	1,070	1,162	925	630	593	427	640	3,560	10,136	35%
4	1,110	712	509	313	250	191	160	349	1,828	5,422	34%
12	419	419	373	309	245	217	209	272	1,225	3,688	33%
17	1,380	990	1,022	774	562	472	347	532	2,585	8,664	30%
20	693	573	518	374	288	209	153	210	1,141	4,159	27%
15	928	691	642	546	372	302	219	270	1,398	5,368	26%
9	1,046	766	661	495	279	231	155	199	1,235	5,067	24%
18	773	608	526	419	291	242	146	208	961	4,174	23%
11	1,660	1,532	1,584	1,362	968	780	572	668	2,594	11,720	22%
5	1,407	1,001	930	651	542	445	411	328	1,294	7,009	18%
19	468	410	345	218	152	148	60	71	362	2,234	16%
14	225	200	194	152	108	56	36	49	195	1,215	16%
16	61	58	50	40	26	13	13	13	48	322	15%
2	298	223	185	133	91	66	89	74	169	1,328	13%
7	821	691	621	511	330	241	159	213	506	4,093	12%
3	133	99	82	63	22	19	12	13	56	499	11%
10	681	505	423	312	210	143	112	101	304	2,791	11%
1	683	557	467	233	215	124	74	73	262	2,688	10%
8	253	206	212	169	104	73	36	20	20	1,093	2%
Total	**15,150**	**12,085**	**11,217**	**8,603**	**6,128**	**5,047**	**3,794**	**4,762**	**23,749**	**90,535**	**26%**

[1] Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters).

FY 2014/15 Foreclosure Initiative
April 2015 Status Report
Mean Number of Days from Filing to Disposition[1]
By Circuit (Run Date: August 4, 2015)

Circuit	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15
1	521	516	491	525	444	477	410	496	381	463
2	467	418	428	545	477	492	510	510	467	484
3	329	334	335	428	332	320	359	331	297	348
4	474	502	563	480	526	556	514	586	508	586
5	560	523	487	526	551	549	494	488	513	523
6	719	707	736	732	769	719	714	658	694	683
7	592	683	552	584	586	570	518	578	556	526
8	353	372	352	342	329	341	320	352	390	360
9	792	775	785	723	719	724	687	721	716	618
10	513	518	527	485	528	438	496	482	407	432
11	546	568	553	555	552	590	550	561	546	548
12	722	673	736	723	674	653	587	641	600	561
13	828	850	813	817	868	836	814	855	862	773
14	513	518	561	593	456	581	548	552	682	492
15	774	742	716	763	738	707	711	724	658	658
16	639	641	475	468	626	659	694	587	560	619
17	978	1,076	919	967	884	899	900	814	820	833
18	787	786	775	644	635	714	661	596	594	566
19	476	463	443	449	477	454	461	448	453	448
20	528	590	583	594	598	558	619	602	605	627
Total	**690**	**699**	**662**	**665**	**655**	**659**	**646**	**638**	**626**	**618**

[1] Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters).

FY 2014/15 Foreclosure Initiative
April 2015 Status Report
Number of Foreclosure Initiative Filings[1]
By Circuit (Run Date: August 4, 2015)

Circuit	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15
1	257	251	273	308	244	247	237	254	263	241
2	108	112	99	118	85	102	99	86	100	134
3	69	57	43	62	39	47	37	43	55	45
4	513	452	462	493	382	399	341	407	407	379
5	477	543	532	580	424	481	425	498	511	538
6	616	582	579	626	450	463	412	430	436	450
7	363	343	299	337	292	309	266	290	300	319
8	100	111	89	123	71	88	88	92	81	97
9	781	646	592	693	540	536	495	534	516	513
10	327	261	255	261	225	228	223	285	245	258
11	859	776	797	818	622	700	615	536	689	658
12	259	227	230	210	205	220	171	181	156	144
13	430	373	413	457	325	397	329	325	408	400
14	131	81	93	119	81	88	82	84	92	87
15	477	449	442	499	371	376	355	407	409	465
16	34	22	25	22	18	34	22	25	27	30
17	708	673	674	706	583	577	472	593	591	650
18	363	336	314	341	257	313	250	278	305	289
19	334	305	296	325	226	238	190	194	222	244
20	416	373	360	379	282	317	271	258	287	297
Total	**7,622**	**6,973**	**6,867**	**7,477**	**5,722**	**6,160**	**5,380**	**5,800**	**6,100**	**6,238**

[1] Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters). Additionally, these statistics are subject to modification by the Clerk of Court.

FY 2014/15 Foreclosure Initiative
April 2015 Status Report
Number of Foreclosure Initiative Dispositions[1]
By Circuit (Run Date: August 4, 2015)

Circuit	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15
1	587	498	495	425	328	410	368	370	401	276
2	154	128	146	141	139	148	171	154	176	123
3	75	55	73	66	35	61	48	42	54	63
4	742	807	876	726	692	893	798	655	763	877
5	843	967	929	1,147	738	829	896	776	900	841
6	1,239	1,174	1,062	1,181	786	1,020	1,096	1,087	1,060	1,182
7	751	810	654	575	470	517	471	574	495	614
8	80	180	151	100	89	128	60	104	110	92
9	1,695	1,643	1,592	1,607	967	1,058	1,326	1,247	1,518	1,399
10	523	447	378	450	373	424	394	377	430	376
11	1,517	2,088	1,819	1,591	989	1,534	833	781	982	1,023
12	567	385	458	727	467	405	391	337	443	361
13	873	915	855	899	719	819	817	661	840	751
14	189	185	193	147	152	150	71	126	78	164
15	1,499	1,093	1,282	1,071	831	901	947	906	801	912
16	40	33	39	53	49	38	39	47	40	32
17	2,237	2,183	1,620	1,800	1,263	1,774	1,552	1,320	1,406	1,476
18	899	917	688	905	579	534	776	632	502	678
19	613	631	518	563	426	388	397	356	385	320
20	835	803	768	942	706	713	752	600	739	676
Total	**15,958**	**15,942**	**14,596**	**15,116**	**10,798**	**12,744**	**12,203**	**11,152**	**12,123**	**12,236**

[1] Foreclosure initiative statistics are based on dynamic data reported by each Clerk of Court to the Office of the State Courts Administrator as outlined in the FY 2013/14 Foreclosure Initiative Data Collection Plan and do not include reopen or inactive cases. Included are commercial, homestead residential, and non-homestead residential foreclosure cases. Foreclosure initiative statistics are also based on Summary Reporting System filings and dispositions data for other real property actions (i.e., quiet title, condemnation, ejectment, and similar matters). Additionally, these statistics are subject to modification by the Clerk of Court.

Appendix L – Analysis of Revenue Generated by the $2.00 Recording Fee

$2.00 Recording Fee Revenue
Collected Pursuant to F.S. 28.24(12)(e)(1)

Shared by the State Trial Courts, State Attorney,
Public Defender, and Criminal Conflict and Civil Regional Counsel

Rank	County	CFY 2013-14 Revenue
1	Liberty	$6,610
2	Lafayette	$7,430
3	Union	$8,366
4	Hamilton	$10,030
5	Calhoun	$10,482
6	Glades	$10,606
7	Dixie	$14,088
8	Holmes	$15,608
9	Jefferson	$16,996
10	Taylor	$17,302
11	Madison	$18,218
12	Gilchrist	$18,624
13	Hardee	$23,054
14	Washington	$25,086
15	Baker	$25,718
16	Gulf	$26,559
17	Bradford	$27,936
18	Desoto	$28,163
19	Franklin	$31,140
20	Gadsden	$35,860
21	Suwannee	$37,636
22	Hendry	$38,402
23	Jackson	$39,421
24	Wakulla	$40,041
25	Okeechobee	$43,274
26	Levy	$47,052
27	Columbia	$64,880
28	Putnam	$76,928
29	Walton	$112,150
30	Highlands	$118,345
31	Nassau	$137,776
32	Monroe	$191,796
33	Flagler	$201,510
34	Citrus	$211,523
35	Sumter	$226,014
36	Hernando	$246,762
37	Indian River	$253,796

$2.00 Recording Fee Revenue
Collected Pursuant to F.S. 28.24(12)(e)(1)

Shared by the State Trial Courts, State Attorney,
Public Defender, and Criminal Conflict and Civil Regional Counsel

Rank	County	CFY 2013-14 Revenue
38	Martin	$268,655
39	Santa Rosa	$270,752
40	Alachua	$279,858
41	Clay	$281,810
42	Okaloosa	$320,418
43	Bay	$329,702
44	Charlotte	$332,589
45	Leon	$343,416
46	Escambia	$416,653
47	St. Lucie	$446,835
48	St. Johns	$485,448
49	Lake	$531,342
50	Seminole	$571,183
51	Manatee	$590,853
52	Osceola	$690,232
53	Pasco	$707,021
54	Sarasota	$721,373
55	Collier	$770,294
56	Polk	$774,281
57	Volusia	$775,779
58	Brevard	$856,466
59	Marion	$944,322
60	Duval	$1,177,490
61	Lee	$1,209,148
62	Pinellas	$1,300,601
63	Hillsborough	$1,667,248
64	Palm Beach	$2,089,745
65	Orange	$2,383,782
66	Broward	$2,605,398
67	Miami-Dade	$3,064,088
TOTAL		**$29,671,965**

Appendix M – Florida Supreme Court Administrative Order AOSC15-18

Supreme Court of Florida

No. AOSC15-18

IN RE: STANDARDS FOR ACCESS TO ELECTRONIC COURT DOCUMENTS AND ACCESS SECURITY MATRIX

ADMINISTRATIVE ORDER

In March 2014, the Supreme Court adopted the Standards for Access to Electronic Court Records and the Access Security Matrix. See In re: Standards for Access to Electronic Court Records, Fla. Admin. Order No. AOSC14-19 (amended nunc pro tunc to March 19, 2014, on May 23, 2014). Since that time, the Access Governance Board, under authority of the Florida Courts Technology Commission (hereinafter "FCTC"), has made recommended changes to these two documents based on input from the clerks of court, private attorneys, public defenders, representatives of the media, and other interested entities.

The FCTC has approved the changes in accordance with its authority under Florida Rule of Judicial Administration 2.236 to "establish, periodically review, and update technical standards for technology used and to be used in the judicial branch to receive, manage, maintain, use, secure, and distribute court records by electronic means, consistent with the technology policies established by the

supreme court." The FCTC now recommends approval and adoption by the Court of the amended Standards for Access to Electronic Court Records and the amended Access Security Matrix.

As a means for the judicial branch to continue to ensure responsible access to electronic records, the Court hereby adopts the amended Standards for Access to Electronic Court Records and the amended Access Security Matrix to supersede those adopted in AOSC14-19. The amended Standards for Access to Electronic Court Records and the Access Security Matrix are attached hereto and incorporated herein by reference.[1]

DONE AND ORDERED at Tallahassee, Florida, on June 9, 2015.

Jorge Labarga, Chief Justice

ATTEST:

John A. Tomasino, Clerk of Court

1. The Standards for Access to Electronic Court Records and the Access Security Matrix are also available on the Florida Courts website. See http://flcourts.org/resources-and-services/court-technology/technology-standards.stml.

Standards For Access To Electronic Court Records

May 2015

These standards establish statewide technical and operational requirements for access to electronic court records by the public, special user groups, judges, and court and clerk's office personnel. The standards also implement the Access Security Matrix, which governs remote internet and clerk's office access to electronic court records.

ACCESS METHODS

There are three different methods for accessing electronic court records.

1. Direct access via application to internal live data
2. Web-based application for replicated or live data with security
3. Web-based portal for public viewing of replicated data and variable levels of security based on user role

Direct or web access to live production data is generally limited to court and clerk officers and authorized court and clerk's office staff. Most users will access replicated data to protect the integrity and availability of the official court record maintained by the clerk.

ACCESS SECURITY MATRIX

The Access Security Matrix appended to these standards governs access to electronic court records based upon user roles and applicable rules, statutes, and administrative policies. The matrix performs the following functions:

1. Establishes user groups
2. Establishes access levels
3. Assigns access level for each user group based on case type
4. Assigns access level for all docket codes

The Access Governance Board, under the authority of the Florida Courts Technology Commission, is responsible for maintaining the matrix by timely incorporating legislative and rule changes that impact access to electronic court records. Access permitted under the Access Security Matrix applies equally to electronic and paper court records.

USER GROUPS

Access to electronic court records is determined by the user's role and applicable statutes, rules, and administrative policy. Access may be restricted to certain user groups based on case type, document type, or information contained within records. All individuals and entities authorized under these standards to have greater access than the general public must establish policies to protect confidential records and information in accordance with applicable rule and statutory requirements. Remote electronic access may be more restrictive than clerk in-house electronic access.

USER GROUPS	ACCESS PERMITTED	SECURITY REQUIREMEMTS
Judges and authorized court and clerk's office personnel	All court records, except those expunged pursuant to s. 943.0585, F.S., with discretionary limits based on local security policy. Each court and clerk must establish policies to ensure that access to confidential records and information is limited to those individuals who require access in performance of their official duties. Access to records sealed pursuant to s. 943.059, F.S., is permitted judges to assist in performance of case-related adjudicatory responsibilities.	In-house secure network and secure web access.
Parties	All records in the party's case except those that are expunged or sealed; access may be denied to information automatically confidential under rule 2.420(d)(1), or made confidential by court order, depending upon case type and the language of the order.	Secure access on case-by-case basis. Access by notarized request to insure identity of party.
General public	All records except those that are expunged or sealed, automatically confidential under rule 2.420(d)(1), or made confidential by court order. No remote access to images of records in cases governed by the Florida Family Law Rules of Procedure, Florida Rules of Juvenile Procedure, or Florida Probate Rules, pursuant to s. 28.2221(5)(a), F.S.	None. Anonymous internet access permitted.

USER GROUPS	ACCESS PERMITTED	SECURITY REQUIREMEMTS
Individuals registered for subscriber service	All records except those that are expunged or sealed, automatically confidential under rule 2.420(d)(1), or made confidential by court order. Viewable on request remote access to images of records in cases governed by the Florida Family Law Rules of Procedure, Florida Rules of Juvenile Procedure, or Florida Probate Rules, pursuant to s. 28.2221(5)(a), F.S.	Secure access through user name and password by written notarized agreement.
Attorneys of record	For the purpose of rules 8.010 and 3.130, the Office of the Public Defender is considered the attorney of record at first appearance. All records except those that are expunged or sealed; access may be denied to records or information automatically confidential under rule 2.420(d)(1), or made confidential by court order, depending upon the type of case and the language of the court order.	Secure access through user name and password by written notarized agreement. The gatekeeper is responsible for maintaining authorized user list.
Authorized state or local government agencies	All records except those that are expunged or sealed, automatically confidential under rule 2.420(d)(1), or made confidential by court order. Access to social security numbers as permitted by s.119.071, F.S.	Secure access through user name and password by written notarized agreement. Agency gatekeeper is responsible for maintaining authorized user list.

USER GROUPS	ACCESS PERMITTED	SECURITY REQUIREMEMTS
Certified law enforcement officers of federal or state law enforcement agencies, including state attorney's offices, and state attorney general's office	All records except those that are expunged or sealed, automatically confidential under rule 2.420(d)(1), or made confidential by court order. Access to social security numbers as permitted by s.119.071, F.S. Access to HIV test results as permitted by ss. 775.0877, 951.27, and 960.003, F.S. Access to sexually transmitted disease results as permitted by s. 384.29(1), F.S. Access to birth certificates as permitted by s. 382.013(5), F.S. Access to mental health records as permitted by s. 916.107(8), F.S. Access to addresses of domestic violence victims, and identities of victims of sexual and child abuse when originating from law enforcement as permitted by s. 119.071(2), F.S. Access to children and families in need of services records as permitted by s.984.06(3), F.S. Access to juvenile records as permitted by s. 39.0132(4)(a)(1), F.S.	Secure access through user name and password by written notarized agreement. Agency gatekeeper is responsible for maintaining an authorized user list.

USER GROUPS	ACCESS PERMITTED	SECURITY REQUIREMEMTS
	Access to juvenile delinquency records as permitted by s. 985.04, F.S. Access limited to law enforcement personnel who require access in performance of their official job duties.	
Department of Children and Families personnel, or authorized service providers of the agency.	All records except those that are expunged or sealed, automatically confidential under rule 2.420(d)(1), or made confidential by court order. Access to social security numbers as permitted by s. 119.071, F.S. Access to birth certificates as permitted by s. 382.013(5), F.S. Access to children and families in need of services records as permitted by s. 984.06(3), F.S. Access to juvenile records as permitted by s. 39.0132(3), F.S. Access to juvenile delinquency records as permitted by s. 985.04, F.S. Access to records is limited to agency personnel and service providers who	Secure access through user name and password by written notarized agreement. Agency gatekeeper is responsible for maintaining authorized user list.

USER GROUPS	ACCESS PERMITTED	SECURITY REQUIREMEMTS
	require access in performance of their official job duties.	
Commercial purchasers of bulk records.	All records except those that are expunged or sealed, automatically confidential under rule 2.420(d)(1), or made confidential by court order. No remote access to images of records in cases governed by the Florida Family Law Rules of Procedure, Florida Rules of Juvenile procedure, or Florida Probate Rules, pursuant to s. 28.2221(5)(a), F.S.	Secure access through user name and password by written notarized agreement. Commercial purchaser gatekeeper is responsible for maintaining an authorized user list.
Administrative	Access for administrative purposes only to manage accounts for an organization with multiple users	Secure access to maintain and update user accounts. Gatekeeper can represent an agency under a single notarized agreement.

ACCESS LEVELS

Access permitted to:

A. All but expunged, or sealed under Ch. 943
B. All but expunged, or sealed under Ch. 943, or sealed under rule 2.420
C. All but expunged, or sealed under Ch. 943 and sealed under rule 2.420, or confidential
D. All but expunged, sealed, or confidential; record images viewable upon request
E. Case number, party names, dockets only

F. Case number and party names only
G. Case number only
H. No access

Viewable on request access level applies to documents containing confidential information that must be redacted; this access level requires examination of the case file by a clerk to identify and redact confidential information before the record can be viewed. Requests for judicial orders will be reviewed by the clerk for redaction or application of security protocols consistent with these standards.

SECURITY

No sensitive security information should be presented on the user interface. Sensitive data shall be exchanged over trusted paths, or using adequate encryption between users, between users and systems, and between systems. The system must employ appropriate security and encryption measures to prevent disclosure of confidential data to unauthorized persons.

Minimum Technical Requirements:

1. Encryption (general public and authenticated)**
2. No cut and paste of workable links
3. Hyperlinks must not include authentication credentials
4. No access to live data; replicated records will be used for public access
5. Authenticated access for access beyond general public access
6. Monitor bulk data transfers to identify and mitigate abuses of the system by utilizing access programs using automated methods.

**Encryption protects the integrity of the record and prevents exposure to potential security risks. It also prevents authenticated users with higher access from sending links to information to non-authorized users.

INTEGRITY OF THE COURT RECORD

To protect the integrity and availability of the court record, public access will not be to the original record, but to a replicated and redacted version of the record.

Links online shall be encrypted where a user may not be able to cut and paste a URL and get back to a page. Link refresh times shall be limited and time out.

REDACTION

Redaction is the process of obscuring confidential information contained within a public record from view. Redacted portions of the record are blacked out. Redaction may be accomplished manually or through use of technology such as redaction software. Redaction software is used when information is in electronic form. If redaction software is used, it must identify and protect confidential records through redaction of confidential content. For efficiency, redaction software is preferred over manual processes when the files are in electronic form.

There are generally two levels of redaction:

- Level 1 -The system reads the images and uses the knowledge base to auto-redact suspect regions
- Level 2 -Redacted images are presented to a first reviewer to accept or decline to redact selected data on the image

Redaction software may not work in some circumstances, such as with handwritten text or poor quality images. There must be a process to review records that cannot be redacted by software. It is recommended that these records be made available upon request, so proper review and redaction can be completed before they are provided on-line for viewing. The default view for judges is the non-redacted version of the record.

QUALITY ASSURANCE

Clerks must employ redaction processes through human review, the use of redaction software or a combination of both. Clerks must audit the process adopted at least annually for quality assurance and must incorporate into their processes new legislation or court rules relating to protection of confidential information. It is recommended that clerks advise commercial purchasers that court records are regularly updated, and encourage use of updated records.

PERFORMANCE

Search parameters for internet access to electronic records will be limited to the following:

A. Public User

1. case type
2. case number
3. party name
4. citation number
5. date range

B. Authenticated Users may have more robust search features.

Non-confidential data or data accessed by an authenticated user may be viewed immediately. Some images may be "viewable on request" to allow time for the redaction process.

Images are view only, and therefore cannot be modified. No search of images is allowed for internet public access. This type of search would invite bots, overburden the system, and weaken the security systems in place to protect confidential information. Internal users may search images if legally authorized to do so.

Only authorized automated search programs, to be used solely on the indices, shall be used with the court's electronic public access system. Automated search programs may not be used on any other component of the court's electronic public access system. The court and clerk will determine the criteria for authorization of any automated search programs. Such authorization may be revoked or modified at the discretion of the court and clerk.

ARCHIVAL REQUIREMENTS

Electronic records must be archived in a manner that protects the records from degradation, loss of content, or problems with software compatibility relative to the proper rendering of electronic records.

AUTHENTICATION REQUIEMENTS

Members of the general public do not require a username or password to access information that is generally available to the public. For information that is accessible to individuals or entities beyond general public access, users must be authenticated to verify their role and associated access levels. Users must subscribe to the access system, and provide information to verify their identity. Users are then assigned a login account. At a minimum, users accessing records and information beyond general public access must have a user name and password, and have the ability to change their password using self service within the access portal.

USER MAINTENANCE

Each state or local government agency or law office with personnel who access electronic records in a role that must be authenticated must assign a gatekeeper to notify clerk's office staff of employee or contractor changes. Each agency and law office must remove terminated employees or contractors and must accept responsibility for unauthorized access. The clerks must develop and maintain agreements clearly defining responsibilities for user maintenance.

ACCESS SECURITY MATRIX

Access Security
Matrix v4 May 2015.xl

Appendix N – Technical and Functional Standards for Digital Court Recording

Technical and Functional Standards for Digital Court Recording

As of February 2015

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, an 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.
63. Monitors must have the ability to input relevant annotations that are attached to the recording using a standard computer keyboard.

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. All server equipment responsible for recording should have no single point of failure.
16. 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.
17. The system should allow for stronger security if it is deemed necessary.
18. 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.
19. The DCR system should be compatible with all major platforms and should not use proprietary hardware or software.

20. 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.
21. Stable open source server platforms that are OS independent are acceptable.
22. 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.
23. 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.
24. DCR software should fully support standard sound interfaces and APIs on workstation and servers.
25. DCR software should be fully modular including support for symmetrical multi processors and have thread safe design.

Appendix O – Trial Court Budget Commission's Court Interpreting Technology Workgroup Report and Recommendations

Introduction

As Florida continues to experience significant growth in its non-English speaking population, this trend is also reflected in the court system. It is projected that there will be a 16% statewide increase in the non-English speaking population of Florida from FY 2008-09 to FY 2010-11. Further, not only has the linguistic minority population increased, but the diversity of languages has risen, causing a greater demand for interpreters that are able to speak and translate these languages. The pool of available foreign language interpreters is far lower in languages other than Spanish and Haitian Creole. As a result of this limited supply and increasing demand, interpreting costs are mounting for the trial courts.

It is of critical importance that the State Courts System strives to provide the most reliable and cost efficient level of court interpreting services available. Adequate and equitable funding for this element has been compromised by budget reductions in FY 2007-08 and FY 2008-09. In an effort to increase efficiency and effectiveness in the provision of interpreting services, some circuits have opted to utilize remote interpreting systems.

Background

The Court Interpreting Technology Workgroup (formerly known as Court Reporting Technology Workgroup) was charged by the Trial Court Budget Commission in early 2010 to develop technical and budgetary recommendations in consideration of the future expansion of remote interpreting technology statewide.

Between April 2010 and July 2010, a sub-workgroup consisting of three members, Matt Benefiel, Trial Court Administrator, 9th Judicial Circuit; Gary Hagan, Court Technology Officer, 14th Judicial Circuit; Sunny Nemade, Court Technology Officer, 17th Judicial Circuit met via conference calls to develop recommendations which were then submitted to the Court Interpreting Technology Workgroup. Upon approval by the full Workgroup, the recommendations will be outreached to the trial courts for review and comment.

Utilization of Interpreting Technology

The use of technology for interpreting services has become more widespread as the demand for more effective and efficient interpreting services continues to increase. Throughout most of the 20th century, interpreting services have been primarily conducted in consecutive manner either face to face, or with the use telephones and/or speaker telephones. In recent years, technological advancements have made it possible to provide interpretations with the use of sophisticated digital audio/video communications systems. The following is a general description of the interpretation methods used today.

On-Site Interpreting – Referred to as 'in-person' or 'face to face' interpreting, interpretations are delivered by an interpreter who is physically present in the same location as all of the parties who wish to speak to one another. Interpretation may be delivered in both consecutive and simultaneous modes (i.e., in consecutive mode the interpreter waits for the source speaker to complete a sentence and then interprets; in simultaneous mode interpretations are rendered as the source speaker continuously speaks).

Telephonic Interpreting - Referred to as "over-the-phone interpreting", interpretations are delivered via telephone. Using a speaker telephone or phone with teleconference capabilities, individuals may call an interpreter when no interpreter is available on-site. Several agencies and vendors provide telephonic interpreting services (e.g. Language Line). Interpretation is typically delivered in consecutive mode.

Integrated Audio/Video Interpreting – Utilizes an integrated network system consisting of audio mixers, telephone lines, headsets, and in most cases, cameras to enable interpreters to provide on-demand interpretation services to multiple venues from a remote location. Depending on the technical set up, interpreters may view multiple settings from any location (e.g., office, home) and communicate directly with participants. Remote interpretation is delivered in simultaneous mode.

The major advantages and disadvantages of each interpreting modality are provided in the table below.

Technology Model	Advantages	Disadvantages
On-Site Interpreting	**Qualifications of interpreter may be assessed.**	**Locating interpreters may be difficult if the language need is exotic; interpreter may not be readily available when interpretation is needed; travel is often required.**
Telephonic Interpreting	**Quick access to an interpreter; better access to interpreters of exotic languages; travel not required.**	**Qualifications of interpreter may not be known (if provided by outside vendor); no opportunity for confidential client-attorney conversations; limited to consecutive mode interpretation; background noise and lack of visual cues compromise the accuracy of the interpretation; lack of quality assurance.**
Integrated Audio/Video Interpreting	**Travel not required; quick access to an interpreter; single interpreter can provide service to multiple locations; reduces reliance on contractual interpreters.**	**Technical issues can arise; VPN web access is less secure; insufficient network bandwidth could be an issue; may not be appropriate for all proceedings.**

Recommendations

With regard to the current usage of integrated audio/video technology within the Florida trial court system, in May 2010, the Workgroup directed the Office of the State Courts Administrator (OSCA) to conduct a Florida trial court survey to obtain information regarding the levels in which circuits had implemented or contemplated the implementation of integrated interpreting audio/video systems. A brief summary of the survey responses are provided below (actual detail of these responses may be found in Appendix A):

- 3 judicial circuits ***currently utilize*** integrated audio/video interpreting technology;
- 1 judicial circuit has ***initiated a test pilot*** for an audio-only portable interpreting system;
- 5 judicial circuits ***have plans to implement*** an integrated audio/video interpreting system;
- 9 circuits are ***open to the idea*** of implementing an integrated audio/video system; and
- 2 judicial circuits ***have no plans*** to purchase an integrated audio/video interpreting system.

While it appears the majority of circuits are currently exploring opportunities to implement integrated remote interpreting and only a small percentage of the judicial circuits currently utilize integrated remote technology, the Workgroup determined budgetary *guidelines* should be developed (as opposed to *mandated standards*) to provide guidance and allow for circuit flexibility in purchasing certain components in consideration of varying local and demographic factors.

With regard to developing technical standards, the Workgroup discussed how the technology market for integrated remote interpreting systems has not yet been fully established. Characteristically, the market is in the introduction and growth stages (i.e., awareness is rising; demands are increasing; products are being tested; and new players are entering the market thereby increasing competition). Due to these factors and in an effort not to disrupt innovation, the Workgroup members determined that the development of technical standards and an ITN (Invitation to Negotiate) process would be premature at this time. In the event in which the technology market becomes more competitive and demand reaches a more substantial level, the future development of technical standards and an ITN may become necessary.

It should be noted that earlier this year, a Court Interpreting Workgroup was created by the Trial Court Performance and Accountability Commission (TCP&A) to develop recommendations on standards of operation and best practices for the court interpreting element. In June 2010 the Workgroup issued a preliminary draft report which recommended that circuits move towards integrating audio/video remote interpreting technology as part of their overall service delivery model. Further, the workgroup recommended (as a best practice) that circuits integrate a video component as part of their remote interpreting system. During the upcoming months, if these recommendations are approved by the

Supreme Court, the expansion of remote interpreting may be further discussed as a statewide initiative for all circuits during upcoming years. As a result, the need for technical standards and state vendor contracts may become more significant in the near future. Similar in previous years (with the implementation of digital court reporting technology), the future integration of court interpreting technology is to be carried out directly by each judicial circuit. The role of the Supreme Court is to provide high level oversight over the process through appointed commissions and committees. The OSCA would assist to provide state level administrative direction and support as needed.

I. Cost Models for Integrated Audio/Video Interpreting Systems

As previously mentioned, due to the significant number of circuits interested in purchasing remote interpreting technology, the Workgroup determined it would be beneficial to provide some guided options in which these circuits may refer to as they explore future opportunities.

In determining target preliminary cost guidelines on remote interpreting technology, the following recommendations were based on current market rates. Current vendor pricing models, features and functionalities will vary as the circuits work to determine technological service requirements for integrated audio/video interpreting systems. Therefore, actual costs per circuit may vary due to existing infrastructure already installed as part of an original courthouse construction, integrated digital court reporting system, or localized network. Furthermore, actual prices are subject to change based on increased vendor competition and future negotiations of state contracts.

Similar to digital court reporting technology, funding for integrated audio/video interpreting systems must be available at both county and state levels due to the separation of responsibilities as specified in s. 29.008. As such, the following expansion cost models provide component guidelines and ceiling costs in consideration of both state and county obligations for integrated audio/video interpretation systems.

Recommendation 1 – Guideline Costs – The following estimated cost guidelines for courtrooms/hearing rooms and interpreter offices are recommended for the projection of future costs and for the evaluation of circuit funding requests.

Courtroom/Hearing Room (all sizes/types) – Full Integrated Audio/Video Interpretation System
(Table below reflects complete set up for an empty room. Rooms with an existing digital court recording and/or sound reinforcement system may not require all of these components)

State Costs		
Video Camera	1 camera dome IP based w/Flush Mount	$783
Media Control	Matrix audio mixer with telephone hybrid	$5,500
Headsets	3 headsets: defendant, witness, attorney	$717
Audio Codec	1 IP Audio Codec	$3,000
Subtotal		**$10,000**
County Costs		
Amplifier	1 Amplifier	$5,505
Microphones	12 Microphones	$3,000
Speakers	10 Speakers	$990
Wiring	Cables, telephone lines, connectors, UPS power	$2,000
Infrastructure	Racks for courtroom sound systems, telephone interface equipment	$500
Installation and Configuration	Contract Dollars	$1,000
Subtotal		**$12,995**
Total Cost		**$22,995**

Note: Total cost of audio codec is $3,000. One audio codec may be shared up to 4 courtrooms. Cost for speakers is based on average 8-12 speaker configuration per room at $99 per unit.

Courtroom/Hearing Room (all sizes/types) – Video Conferencing Interpretation System

County Costs		
Video Codec	w/3 year warranty	$7,500
Total Cost		**$7,500**

Note: Total cost does not include option for standalone $1,500 for 42”Plasma TV and Cart.

Courtroom/Hearing Room (all sizes/types) – Audio Only Remote Interpretation Portable Cart

State Costs		
Media Control	Audio Mixer touch tone (DTMF) capable	included
Headsets	2 headsets: 1 single-muff; 1 double-muff	included
Infrastructure	Rolling cart	included
Amplifier	1 Amplifier (65 Watt, ultra-low signal-to-noise ratio)	included
Microphones	4 Wireless: 2 tabletop, 2 clip-on	included
Speakers	2 Speakers (150 Watt high fidelity)	included
Control System	10" touch screen; 4 VU meters	included
Total Cost		**$19,067**

Note: $19,067 reflects cost at base. Government and volume discounts are available through vendor. County costs associated with the necessary integrated network configuration are not included in the table.

Interpreter Office – Add-On to Previously Installed Standard Workstation

State Costs		
Monitor	Add-on to existing interpreter workstation	$250
Control System	Master controller	$1,000
Headsets	1 interpreter headset dual sided with mic	$283
Subtotal		**$1,533**
County Costs		
Wiring	Cables, telephone lines, connectors, UPS power	$200
Subtotal		**$200**
Total Cost		**$1,733**

Note: Each Interpreter workstation is configured based on a 4 courtroom/hearing room set up.

Interpreter Centralized Control Room – Remote Interpreter Workstation per Interpreter

State Costs		
Workstation	Interpreting Workstation w/Dual 20" LCD Monitors	$1,500
Audio Codec	IP audio codec	$3,000
Headsets	1 interpreter headset dual sided with mic	$283
Subtotal		**$4,783**
County Costs		
Wiring	Cables, telephone lines, connectors, UPS power	$200
Subtotal		**$200**
Total Cost		**$4,983**

Note: Each Interpreter workstation is configured based on a 4 courtroom/hearing room set up.

II. Maintenance

Circuits currently utilizing remote interpreting systems have never been allocated state funds to support the on-going maintenance of their interpreting systems. Further, it is understood that with the future implementation of remote interpreting systems, the approach chosen by the circuits to maintain these systems will vary across the state depending on the chosen vendor's maintenance model and availability of funding resources (at state and local levels).

The approved recommendations for *court reporting* technology provide for a simple 13% funding formula to be applied to initial hardware and software costs (excluding installation/training costs). Until such time that remote interpreting historical expenditures can be reviewed and expectations of vendor maintenance agreements can be more clearly defined, the Workgroup recommends the same 13% maintenance formula be applied for state purchased remote interpreting technology.

Recommendation 2 – 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 integrated audio/video remote interpreting technology hardware and software.

III. Life Cycle Management

In consideration of the existing 2008 TCBC approved court reporting hardware replacement schedule and upon reviewing input from the May 2010 trial court interpreting survey, the Workgroup has allocated the following recommended refresh schedules for court interpreting hardware replacement. This table contains both state and county obligations that relate to the overall functionality of an audio/video interpreting system. County funded requirements are specified in Florida Statute 29.008.

Recommendation 3 - Hardware Replacement Schedule Guidelines – 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
Digital A/V	
Digital matrix mixers	6 years
Cameras	5 years
Encoders	6 years
Video Conferencing Unit	10 years
Audio Codec	6 years
Television and Cart	10 years
Analog A/V	
Microphone	5 years
Amplifier	7 years
Control Box	7 years
Speakers (sound system)	10 years
Cameras	5 years
Workstations	
Standalone workstation or laptop	3 years
Computer monitors	5 years
Other Computer Hardware	
UPS (uninterruptable power supply)	3 years
Headsets	2 years

IV. Asset Inventory

Upon the purchase of state obligated integrated audio/video interpretation system components, circuits shall submit an annual asset inventory to OSCA for compilation and analysis. Due to the similarity and cross-over functionalities of some of the components, this inventory should be completed in conjunction with the court reporting technology inventory (recently renamed Due Process Technology Inventory).

Recommendation 4 – Data Collection and Analysis – For purposes of managing court interpreting hardware and software resources, circuits shall maintain and annually submit an asset inventory to the OSCA following the guidance from the OSCA on appropriate format, content, and reporting frequency.

V. Future Considerations

In the future, as more circuits expand this technology, it may be possible to create centralized calling centers that could be shared by circuits across the State of Florida further increasing the effectiveness and efficiency of integrated audio/video interpretation systems. Centralized calling centers would provide circuits a reliable resource in which they could "fall-back" on when experiencing difficulties in obtaining local certified language interpreters. Also, the TCP&A Court Interpreting Workgroup has recommended for circuits to explore the possibility of expanding the use of remote interpreting technology in order to promote intra-state interaction and the sharing of interpreter resources[1]. To institute such an unprecedented technological change though, several operational and administrative issues would need to be clarified. Nevertheless, from a systemic standpoint, the substantial outcomes and cost savings may warrant further examination in the near future.

Recommendation 5 – Centralized Calling Centers – As the need for due process technology grows the trial courts should explore the future possibility of sharing interpreting resources across circuit boundaries through the implementation of an intra-state integrated remote interpreting technological model.

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[1]As reported in the May 2010 trial court survey, with the assistance of the 9th Judicial Circuit, the 2nd Circuit is initiating a pilot program in which to share interpreter resources across circuit boundaries using audio only remote interpreting technology. Specifically, the pilot includes providing interpreting services to the 2nd Judicial Circuit using interpreter resources from the 9th Judicial Circuit via analog telephone line.

Appendix A

Trial Court Circuit Survey on Integrated Audio/Video Interpreting
May 2010 Survey Responses

Survey Question #1: Please indicate if your circuit has an integrated interpretation system. For circuits that do not have an existing integrated interpretation system, please advise as to whether your circuit has considered the future implementation of this type of system, and if possible, provide a brief description of the type of integrated system your circuit would most likely need and the technical and budgetary plan for implementing the system.

Cir	Response
1	We have not considered using an integrated system but are not opposed to it. I do not feel I know enough about the system to discuss type of system or cost.
2	The 2nd Judicial Circuit does not have a remote interpreting system. However, during the upcoming months and with the support of the 9th Circuit, the 2nd Circuit plans to initiate a single county courtroom pilot project in which to properly test remote interpreting. This pilot will include temporarily utilizing 9th circuit interpreter resources to provide remote interpreting services to the 2nd Circuit via telephone analog (audio only). The remote interpreting services will be provided through a portable cart-type remote interpreting system (borrowed from the vendor) for proceedings held in a Gadsden county courtroom.
3	We have discussed the possibility of remote interpreting but have never gone to the extent of determining what our needs would be or getting price quotes. This could be very beneficial for a circuit like ours though, as we cover 7 counties that are spread over 5,000 square miles. We could respond more timely and be more cost effective this way if we had the technology available.
4	The 4th Circuit does not have an integrated audio/video interpretation system. However, the 4th circuit utilizes video conferencing equipment on a limited basis to deliver remote interpreting services. Recently, the 4th explored opportunities to buy an integrated audio/video interpretation system, however, were unsuccessful in selecting the right vendor/model.
5	The Fifth Circuit does not have an integrated interpretation system. We do not currently have plans to implement one.
6	The Sixth Circuit does not have an existing integrated interpretation system at the present time. While some of the hardware and communication lines are in place we do not have interpreters on staff and are using contract interpreters. State funds for staff and additional hardware has not been available.
7	We would like to implement and integrated system in the future that would allow us to utilize our in-house interpreters remotely to any courtroom in the Circuit. We have 4 counties that are not connected via a circuit wide network so we need a system capable of remote access without LAN capabilities. This would also serve for private companies doing interpretations for us.
8	No, the 8th Circuit does not have an integrated remote interpreting system. We are interested in buying one, however, we haven't been able to determine the correct specifications needed for our circuit.
9	Yes, system is in place and operational since October 2007.

10	Our circuit does not use an integrated interpretation system; the primary reason for this is the ability, thus far, to use staff and contract interpreters to cover the needs of the court. This is not to say that we would not consider an integrated system; we are putting the infrastructure to support this functionality in the future. We use video conferencing for remote interpreting on a limited basis, but do not consider this an integrated interpretation system; the main impediment of using such a system would be the necessary culture change of our judges who have become accustomed to having a live interpreter at each proceeding. In addition, the elected Public Defender has voiced his opposition to any interpreter system that does not contain the existence of a live interpreter in the courtroom or hearing room.
11	We do not have an integrated system at present. We are open to change in the future pending funding.
12	No plans at this time.
13	**Yes**. The 13th circuit has considered and discussed in the past, the implementation of an integrated interpreting system. **Technical Description:** The proposed centralized remote interpreter solution allows on-demand service of court interpretation to be performed either at a central location within the courthouse or offsite. The solution utilizes our existing integrated network system consisting of Cisco switches and Media Matrix audio system and components. The additional equipment required to specifically support court interpreting include headsets, IP cameras, and control system along with a phone hybrid. The phone hybrid gives the interpreter a separate call for each division. Logging into the network either locally or via VPN will provide access to the controls and video for each division. The controls allow the interpreter to speak privately with the defendant and the defendant's attorney or speak where the entire courtroom can hear. The IP cameras will provide two camera angles in the courtroom to view the defendant as well as the Judge. With this configuration, the interpreter can be anywhere there is Internet Access and a phone line to perform the required services. **Budgetary Plan**: If sufficient expense and capital funding is made available to the circuits for implementation of an integrated interpreting system, the 13th circuit would implement its system incrementally in phases across certain divisions of the court. For example, the 13th circuit would begin the incremental implementation, as follows: Phase I – first appearance, child support enforcement hearings (jail cases) domestic violence and misdemeanor; Phase II - juvenile (delinquency & dependency) divisions, dependency general magistrates and drug court: Phase III – felony. **Note: the following** is the 13th circuit's projected costs for implementing an integrated interpreter system incrementally by divisions of the court.

blackwater integration

2828 States St. Suite 101
Lakeland, FL 33803
Office: 863-937-9368
www.Blackwaterint.com

PO Box 5050
Lakeland, FL 33807
Fax: 863-937-9371
info@blackwaterint.com

Court Interpreter Integrated Solution – 13th Circuit
Bill of Materials, May 24, 2010

QTY	MFR	MODEL	DESCRIPTION	UNIT	TOTAL
Misdemeanor (Annex & Plant City)					
IDF Equipment					

1	Media Matrix	NION N6	Networkable DSP Processor	$ 8,200.00	$ 8,200.00
2	Media Matrix	CAB-8i	8 Channel Input Cab	$ 1,600.00	$ 3,200.00
2	Media Matrix	CAB-16O	16 Channel Output Cab	$ 1,600.00	$ 3,200.00
4	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 2,800.00
4	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 2,000.00
Courtroom Equipment (CR17,18,19,20,21,9,10,53 & P3)					
18	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 14,092.92
18	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 2,120.76
36	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 7,212.24
				Misdemeanor Total	**$ 42,825.92**
Domestic Violence (Edgecomb & Plant City)					
IDF Equipment					
2	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 1,400.00
2	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 1,000.00
Courtroom Equipment (CR300,302,303 & P1)					
8	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 6,263.52
8	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 942.56
16	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 3,205.44
				Domestic Violence Total	**$ 12,811.52**
Juvenile Delinquency (Annex)					
IDF Equipment					
1	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 700.00
1	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 500.00
Courtroom Equipment (CR26,27,28 & 29a)					
8	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 6,263.52
8	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 942.56
16	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 3,205.44
				Juvenile Delinquency Total	**$ 11,611.52**
Dependency (Edgecomb)					
IDF Equipment					
1	Media Matrix	NION N6	Networkable DSP Processor	$ 8,200.00	$ 8,200.00
1	Media Matrix	CAB-8i	8 Channel Input Cab	$ 1,600.00	$ 1,600.00
1	Media Matrix	CAB-16O	16 Channel Output Cab	$ 1,600.00	$ 1,600.00

2	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 1,400.00
2	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 1,000.00
Courtroom Equipment (CR307,308,309,310 & 403)					
10	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 7,829.40
10	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 1,178.20
20	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 4,006.80
				Dependency Total	**$ 26,814.40**
Child Support (Edgecomb)					
IDF Equipment					
1	Media Matrix	NION N6	Networkable DSP Processor	$ 8,200.00	$ 8,200.00
1	Media Matrix	CAB-8i	8 Channel Input Cab	$ 1,600.00	$ 1,600.00
1	Media Matrix	CAB-16O	16 Channel Output Cab	$ 1,600.00	$ 1,600.00
1	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 700.00
1	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 500.00
Courtroom Equipment (HR490)					
2	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 1,565.88
2	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 235.64
4	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 801.36
				Child Support Total	**$ 15,202.88**
General Magistrates (Edgecomb)					
IDF Equipment					
2	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 1,400.00
2	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 1,000.00
Courtroom Equipment (HR409,418,480a,480b & HR414)					
10	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 7,829.40
10	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 1,178.20
20	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 4,006.80
				General Magistrates Total	**$ 15,414.40**
Drug Court & Post Conviction Relief (Annex)					
IDF Equipment					
2	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 1,400.00
2	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 1,000.00

Courtroom Equipment (CR8 & 23)					
4	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 3,131.76
4	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 471.28
8	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 1,602.72
				Drug Court & Post Conviction Total	**$ 7,605.76**
Felony (Annex)					
IDF Equipment					
2	Media Matrix	NION N6	Networkable DSP Processor	$ 8,200.00	$ 16,400.00
3	Media Matrix	CAB-8i	8 Channel Input Cab	$ 1,600.00	$ 4,800.00
3	Media Matrix	CAB-16O	16 Channel Output Cab	$ 1,600.00	$ 4,800.00
5	Media Matrix	Telephone Hybrid	High quality Telephone audio interface.	$ 700.00	$ 3,500.00
5	ipConfigure	ESM 5.0	Enterprise IP-Video Surveillance Software	$ 500.00	$ 2,500.00
Courtroom Equipment (CR11,12,13,16b,25,61 & 614)					
14	Sony	SNC-DF40	IP Dome Camera	$ 782.94	$ 10,961.16
14	Sony	YTICB40	Flush Mount Kit	$ 117.82	$ 1,649.48
28	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Defendant, Judge, Att and Att)	$ 200.34	$ 5,609.52
				Felony Total	**$ 50,220.16**
Remote Interpreters					
Station 1					
11	Telex	HR-2R	Dual Sided w/ Flex Boom Mic (Interpeteter	$ 200.34	$ 2,203.74
11	Link	Phone Hybrid	Telephone Audio Interface	$ 240.00	$ 2,640.00
11	Media Matrix	Xcontrol 4S	4 button preselection panel	$ 175.00	$ 1,925.00
22	NEC	20" LCD	20" LCD Monitor	$ 240.00	$ 5,280.00
11	HP	CPU	Control CPU	$ 1,000.00	$ 11,000.00
				Remote Total	**$ 23,048.74**
				Misdemeanor Total	$ 42,825.92
				Domestic Violence Total	$ 12,811.52
				Juvenile Delinquency Total	$ 11,611.52
				Dependency Total	$ 26,814.40
				Child Support Total	$ 15,202.88
				General Magistrates Total	$ 15,414.40
				Drug Court & Post Conviction Total	$ 7,605.76
				Felony Total	$ 50,220.16
				Remote Total	$ 23,048.74
				Project Total	**$205,555.30**

14	N/A
15	The 15th Circuit recognizes the efficiencies realized through remote court interpreting and is in the final stages of a pilot project, which will be followed by an expansion project into all the Circuit's remote courthouses. The 15th's implementation is closely modeled on the 9th's system. However, Palm Beach County is building the system for the Court in lieu of purchasing a turnkey system. In Palm Beach, courtroom audio and telephonic support is provided by County staff, who, in coordination with Court Technology, is implementing this project. The process is as follows: a TH 4 unit merges the analog phone line into the courtroom audio system. A remote interpreter uses a modified Extron GUI to control who can whether the audio can be heard over the PA system in the courtroom, or only to wireless headsets worn by the defendant and defendant's counsel. The interpreter can view the remote proceeding via an IP camera. This project is the Court's top priority initiative and has been fully funded by the Board of County Commissioners for implementation in 6 rooms during the current County fiscal year. As County staff is doing much of the work in-house, the only budgeted expenditures for the project are for hardware, which totals approximately $3500 per courtroom. Components include : • IP cameras • Th4 unit merges analog phone into courtroom audio • RCI • Plantronics wireless headset • Extron GUI Clear standards and best practices similar to those developed for digital court recording are very helpful in securing County funding to further initiatives.
16	The 16th Circuit does not have an existing integrated interpretation system. We would like to move in this direction but have not researched a system as of yet.
17	Yes, currently 17th Circuit has Simultaneous Interpreting system.
18	We have experimented with two vendors for remote foreign and sign language interpretation. We hope to implement an integrated system, as defined above, during 2010. We hope to put one portable system in each courthouse (6) and jail courtroom (3). The total cost would be $27,000.
19	The 19th Judicial Circuit Court has discussed the concept of remote Interpretation. New courtroom construction will include networked mixers, amplifiers, headsets, and telephonic equipment as required to implement this solution. DCR equipment in existing courtrooms will be upgraded to networkable components when end-of-life is reached and replacement is approved per State of Florida guidelines. State funding will be requested to replace these existing State of Florida assets.
20	20th Circuit would install an integrated interpreter system in all due-process related courtrooms, building upon successful CourtSmart system the net cost would be budgeted at $783,225.00.

Survey Question #2: For those circuits that currently have an integrated interpretation system, please provide an overall description of the type of integrated setup your circuit employs and explain why you chose that setup; explain any challenges associated with your circuit's integrated system including describing any issues experience with implementing the system as part of an existing local or centralized digital court reporting system; explain the types of rooms your circuit has installed integrated interpretation systems (i.e., small/midsize courtrooms, networked hearing rooms) including any experience with the install into large/ceremonial courtrooms; indicate overall how well has the system performed, if you feel that it has been reliable in delivering interpreting services; indicate benefits and limitations you have observed; and indicate any technical or budgetary issues you would like the workgroup to consider as part of their recommendations.

Cir 9

Response

The 9th Circuit used and expanded the technology already in place for centralized interpreting. Network mixers and video are controlled from interpreter work stations. Click for more detail Challenges have included scheduling and quality of the analog lines. Remote interpreting systems are installed in small/mid-size/large courtrooms, including Jail and Juvenile courtrooms. Our circuit is very satisfied with performance and reliability of the system. Judges' support has been critical. It would be helpful if the Workgroup could provide guidelines on the use of remote carts for outlying courthouses and also, consider some technical solutions for video network improvements.

Technical Components			Cost and Life Expectancy			
Qty	Description	Location	Unit Cost	County or State?	Annual Recurring Maintenance Cost	Life Expectancy (in years)
20	PA/Translation Sytems	Courtroom	$9,000	Both	$0	10
20	PA Frame with CobraNet	Courtroom	Included	Both	$0	10
80	Canceller Card	Courtroom	Included	Both	$0	10
40	2-channel Power Amplifier Card	Courtroom	Included	Both	$0	10
40	2-channel Mic/Line Input Card	Courtroom	Included	Both	$0	10
80	2-channel Mic/Line Output Card	Courtroom	Included	Both	$0	10
20	Logic Box	Courtroom	Included	Both	$0	10
20	2 Input/Output Extender Box	Central AV Rack	Included	Both	$0	10
6	Headsets - Sennheiser HMD25-1	Interpreters	$65	Both	$0	10
60	Headsets - Sennheiser HMD280	Courtroom	$65	Both	$0	10

14	We use videoconferencing and telephones. Since the 14th Circuit is spread out geographically over six counties, we can use an interpreter in one county to perform interpreting duties in another county without the time and expense of travel. We use both video and phone interpreting regularly. The system is available in all of the courtrooms throughout the 14th Circuit and in some hearing rooms. The system has performed very well and is very reliable. It is used almost daily for interpreting. The only limitations is when the equipment goes down (such as the video), but even then we have the telephone system as backup.
17	Currently the 17th Circuit has a simultaneous interpreting system for three remote court houses (10 Court rooms). We are planning to expand in North Wing of the Courthouse. We are also planning a new Courthouse building to be completed in 2014. This Project consists of a new civil and family courthouse with 45 full size courtrooms, 12 smaller courtrooms, and 18 hearing rooms. County is currently working on RFI for the new courthouse building. For North wing, we have identified the requirements and budget as follows: Centralized Shared Resources for teleconferencing and video conferencing for criminal courts. This project would provide for the ability to use a shared resource to provide telephonic and video conferencing to any courtroom in the north wing criminal divisions. Via the utilization of the Cobranet feature of the Biamp Frame audio could be routed to any courtroom from centrally located video conferencing units and a Biamp frame equipped with TI-2 cards. i. Frame configured as (Cost 6 @$5,500 =$33,000): 1. 1 – AudiaFlex CM Frame 2. 4 - TI-2 Telephone Interface Cards 3. 4 – IP-2 Mic Line Input Cards 4. 4 – OP-2 Mic Line Output Cards ii. 6 Cisco Network Switches (Cost:$14,000) iii. Cabling (Cost:$30,000) iv. Carts (Cost $8,000) **Grand Total: $85,000** The current 17th Circuit simultaneous Interpreting system located in three remote court houses (10 courtrooms) is based on the 9th Circuit Model. The difference between 9th Circuit and 17th Circuit is that normally it's required that one codec at remote site & one codec at central site but Broward County has further configured the tieline codec to handle 4 courtrooms with two tieline devices instead of traditionally required 5 codec. This is unique setup in the United States, resulting in substantial savings. The desktop tieline codec are installed at the Interpreters end of the link and the rack mount tieline codec is installed in the remote courtroom and linked to the audio PA system. The interpreter can then dials into the court over available network and provide live simultaneous interpreting. Software allows them to switch between courtrooms. Existing video feed is linked for Interpreters to view courtroom. Problem with handling of headphones. There is no one available to do this function from Court. We need to rely on bailiff. Since this is not part of their job, they can refuse. Alternatively we are providing disposable head covers. Currently we are providing headphone wipes. Midsized Courtrooms. This system works with existing PA sound system, and will work for any size courtroom. Some of the Courtrooms that we have are Large, old Each courtroom needs to be configured according to environment and available sound system. So far system has performed very well and very reliable. Remote simultaneous

interpretation provides significant efficiency benefits to the interpreting department of the 17th Judicial Court in Florida. Some of these benefits are:

- The court docket is kept on schedule;
- Interpreters can provide simultaneous remote interpretation - because it is simultaneous, a case moves faster.
- Travel time is minimized so more cases can be handled with the same number of interpreters;
- Last minute requests for interpretation can be handled quickly;
- Interpretation services can be shared throughout the Florida court system (agreements can be made between circuits to share resources if needed);
- Third party interpreting services can be integrated if additional capacity is required; and
- Codec's are simple to use and preconfigured for interpreters

This technology product allow a court system to pool interpreting resources and do simultaneous interpretation from a central location over IP or standard phone line with near CD quality audio. We need to be clear where the funding is coming from. [When Courtroom Sound system is dedicated for Courtroom then as per article V it is county's responsibility. If we connect these systems to Network, then it becomes Courts Technology responsibility. Since its Due process it is State funding]

Technical Components			Cost and Life Expectancy			
Qty	Description	Location	Unit Cost	County or State?	Annual Recurring Maintenance Cost	Life Expectancy (in years)
3	Tieline Commander 3G	North Regional Courthouse South Regional Courthouse West Regional Courthouse	$3,361	State	TBE	5
3	Headset Sennheiser HMD280	3 Regional Courthouse	$240	State	TBE	5
3	PC – Dell	2807 - Central Courthouse	$1,000	State	TBE	3
3	Tieline Commander 3G	2807 - Central Courthouse	$3,361	State	TBE	5
3	Headset Sennheiser HMD25-1	2807 - Central Courthouse	$240			

Appendix P – Core Technology Functions

Support for Minimum Level of Technology

Core Functions

Listed below are core technology functions, as compiled by a subgroup of the Trial Court Technology Funding Strategies Workgroup, with the objective of identifying the minimum core functions that any court should be able to perform.

Server Management:

- Maintain and support the server infrastructure, storage, E-mail, virtual servers/infrastructure, backup server data, upgrades and server migration
- Qualifications – Data Center Engineer - VCP5 (VMware Certified Professional 5)

Network Services:

- Maintain and support all components comprising data, voice, video, wireless and security - infrastructure, disaster recovery, redundancy, and connectivity with other agencies/circuits
- Qualifications – Network Engineer – CCNP (Cisco Certified Network Professional)

Electronic Document Management:

- Configure, maintain and support devices connected to the network such as multifunctional devices, printers, scanners, faxes, etc.
- Provide print/scanning/faxing services to customers (internal and external)

Audio/Video Services:

- Provide support and operational services for audio and visual systems and cabling

Project Management:
(Depends on the circuit technology model and size of the circuit.)

- Manages projects, sets expectations and maps the benefits to the organizational needs and assures the solution will meet design objectives.
- Qualifications – PMP (Project Management Professional)

Help Desk/Desktop/Training:

- Provide Level 1-2 user support for any computer and application issues
- Provide training for new technologies/applications
- On Call/After Hours Support

Multi-Media Services:

- Provide development, support and maintenance for the court's website

Application Development:

- Provide application development, support and maintenance for the Judicial Viewer application - As well as other software to assist in the efficient electronic processing of the court's work flow

- Does not include costs for enhanced functionality needs identified in the future

Digital Court Reporting:

- Provide maintenance and support on the digital court reporting hardware and software

Court Interpreting:

- Provide maintenance and support on the remote court interpreting hardware and software

Appendix Q – Status of Judicial Viewer Implementation with Expenditures

Trial Court Budget Commission

Status of Judicial Viewer Implementation

FY 2013-14 and FY 2014-15

Circuit	Hardware	Software Licenses	Electronic Storage	Programming / Integration with Clerks' Systems	Total Technology Resources	Status of Implementation
0					**$0**	Reserve
1	$61,500	$135,560	$12,000	$101,100	**$310,160**	Implemented the Mentis solution circuit wide in all divisions and all judges in Santa Rosa and Walton County are utilizing the system. Discussions continue with the Clerk, on how the system will be used in Escambia and Okaloosa County. **Balance: $3,280**
2*	$228,233	$0	$20,000	$193,767	**$442,000**	Implemented the Mentis solution in all divisions in Wakulla, Liberty, Franklin and Jefferson County. All judges in Franklin and Jefferson County are utilizing the system. Work continues on interfacing with Mentis in remaining counties. **Balance: $17,899** (Additional $100,000 received from TCBC reallocations) ($5,000 transferred to TCBC reallocations)
3*	$0	$55,000	$0	$25,000	**$80,000**	Implemented the Mentis solution circuit wide in all divisions except civil in Taylor County and all judges are utilizing the system. Work continues on interfacing with Mentins in Taylor County (civil) **Balance: $13,000** (Additional $25,000 received from TCBC reallocations)
4*	$0	$0	$0	$42,000	**$42,000**	Implemented an in-house system (CORE) in Duval County. Work continues on interfacing with CORE in remaining counties. Work continues on CAPS compliance. **Balance: $169** (Additional $42,000 received from TCBC reallocations)
5*	$30,117	$715,987	$0	$45,000	**$791,104**	Implemented the Mentis solution in all divisions in Lake, Citrus and Sumter Counties and all judges are utilizing the system. Work continues on interfacing with Mentis in remaining counties. **Balance: $5,034**
6*	$20,324	$37,853	$0	$81,823	**$140,000**	Implementing the JAWS solution circuit wide. Work continues on interfacing with JAWS. **Balance $25** (Additional $70,000 received from TCBC reallocations)
7*	$109,000	$180,300	$0	$225,000	**$514,300**	Implemented the Pioneer solution in Flagler and St. Johns County and all judges are utilizing the system. Work continues on interfacing with Pioneer in remaining counties. **Balance: $24,299** ($60,000 transferred to TCBC reallocations)
8*	$100,000	$0	$0	$444,000	**$544,000**	Implemented the ICMS solution circuit wide in all divisions and all judges are utilizing the system. **Balance: $10** (Received $144,000 from the 10th, 14th and 18th Circuit for programming ICMS)
9	$0	$0	$0	$0	**$0**	Implemented the Mentis solution in Orange County. Work continues on interfacing with Mentis in Osceola County. No technology funds requested in FY13-14.
10	$0	$0	$0	$0	**$0**	Implemented the ICMS solution circuit wide in all divisions and all judges are utilizing the system. **Balance: $0** ($40,000 programming allocation transferred to the 8th Circuit for programming ICMS)
11*	$248,000	$294,975	$250,000	$330,700	**$1,123,675**	Implementing the Mentis solution in Dade County. Work continues on interfacing with Mentis. **Balance: $1,041** ($250,000 transferred to TCBC reallocations)
12	$0	$0	$0	$0	**$0**	Implemented the Mentis solution in Manatee and Desoto County. Implemented the Pioneer solution in Sarasota County. All judges are utilizing the systems. No technology funds requested in FY13-14.
13	$0	$0	$0	$57,090	**$57,090**	Implemented the JAWS solution in all divisions and all judges are utilizing the system. **Balance: $0**
14*	$87,750	$44,500	$60,000	$51,300	**$243,550**	Implemented the ICMS solution circuit wide in all divisions and all judges are utilizing the system. **Balance: $22** ($20,000 transferred to the 8th circuit for programming ICMS) ($8,700 transferred to TCBC reallocations)
15	$13,500	$0	$0	$156,000	**$169,500**	Implemented the ICMS solution in all divisions and all judges are utilizing the system. Work continues on CAPS compliance. **Balance: $0**
16	$0	$0	$0	$10,000	**$10,000**	Implementing the JAWS solution. Work continues on interfacing with JAWS. **Balance: $2,108**
17*	$111,000	$0	$30,000	$457,572	**$598,572**	Implemented an in-house solution in all divisions and all judges are utilizing the system. Work continues on CAPS compliance. **Balance: $91** (Additional $98,572 received from TCBC reallocations)
18*	$82,000	$3,000	$0	$0	**$85,000**	Implemented an in-house solution in Seminole County and all judges are utilizing the system. Implementing the ICMS solution in Brevard County. Work continues on interfacing with ICMS and CAPS compliance. **Balance: $11** ($66,000 transferred to reserve) ($84,000 transferred to the 8th Circuit for programming ICMS)
19*	$8,610	$0	$0	$103,028	**$111,638**	Implemented the Mentis solution circuit wide in all divisions and all judges are utilizing the system. **Balance: $8,199** ($5,862 transferred to TCBC reallocations)
20*	$0	$0	$0	$0	**$0**	Implemented the Mentis solution in Charlotte, Glades and Hendry Counties and all judges are utilizing the system. Work continues on interfacing Mentis in remaining counties. No technology funds requested in FY13-14. ($5,000 received from TCBC reallocations) **Balance: $151**
TOTAL	**$1,100,034**	**$1,467,175**	**$372,000**	**$2,323,380**	**$5,262,589**	

*Represents Circuits that have amended their funding plans

Appendix R – Court Reporting Statistics: Due Process Technology Inventory

Court Reporting Statistics
First Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 15-16- Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Escambia	Digital A/V	03-04	12	9
		04-05	11	12
		05-06	10	25
		06-07	9	6
		14-15	1	7
	Handheld	06-07	9	11
	Infrastructure	03-04	12	1
		05-06	10	3
		06-07	9	8
		14-15	1	3
	Primary Server	05-06	10	6
		14-15	1	5
	Real-Time Hardware	05-06	10	4
		06-07	9	3
	Secondary Server	05-06	10	5
		06-07	9	1
		14-15	1	3
	Standalone Workstation	06-07	9	1
	Stenographic Hardware	02-03	13	1
		05-06	10	7
		06-07	9	2
		10-11	5	4
		14-15	1	6
	Transcription Workstation	05-06	10	21
		12-13	3	5
		14-15	1	9

Court Reporting Statistics
First Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 15-16- Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Okaloosa	Digital A/V	03-04	12	2
		05-06	10	8
		06-07	9	8
		10-11	5	20
	Handheld	06-07	9	11
	Infrastructure	03-04	12	1
		05-06	10	2
		06-07	9	1
		10-11	5	3
	Primary Server	03-04	12	1
		05-06	10	4
		10-11	5	2
	Real-Time Hardware	05-06	10	2
		06-07	9	2
	Secondary Server	03-04	12	1
		05-06	10	2
		06-07	9	1
		10-11	5	1
	Stenographic Hardware	02-03	13	2
		04-05	11	2
		10-11	5	2
	Transcription Workstation	05-06	10	4
		14-15	1	1

Court Reporting Statistics
First Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 15-16- Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Santa Rosa	Digital A/V	05-06	10	16
		12-13	3	2
	Handheld	06-07	9	14
	Infrastructure	05-06	10	1
		06-07	9	2
		12-13	3	2
	Primary Server	05-06	10	2
		12-13	3	1
	Real-Time Hardware	06-07	9	1
	Secondary Server	05-06	10	1
		06-07	9	1
		12-13	3	1
	Stenographic Hardware	Prior to 01-02	15	3
		06-07	9	1
		10-11	5	2
	Transcription Workstation	05-06	10	4
		12-13	3	2
		14-15	1	2
Walton	Handheld	06-07	9	2
	Infrastructure	06-07	9	2
	Secondary Server	06-07	9	1
	Stenographic Hardware	Prior to 01-02	15	1
		05-06	10	1
		10-11	5	1
	Transcription Workstation	04-05	11	2
		06-07	9	4
		14-15	1	1

Court Reporting Statistics
Second Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Franklin	Other Digital Computer Hardware	12-13	3	2
	Video Server	06-07	9	2
		12-13	3	4
Gadsden	Analog A/V	Prior to 01-02	15	2
	Other Digital Computer Hardware	12-13	3	1
	Stenographic Hardware	03-04	12	3
		12-13	3	1
	Transcription Workstation	05-06	10	1
	Video Server	03-04	12	1
		07-08	8	1
		12-13	3	7
Jefferson	Analog A/V	Prior to 01-02	15	1
	Other Digital Computer Hardware	12-13	3	1
	Video Server	Prior to 01-02	15	1
		12-13	3	2
Leon	Analog A/V	Prior to 01-02	15	7
	Digital A/V	04-05	11	2
		05-06	10	1
	Infrastructure	03-04	12	1
		05-06	10	1
	Other Digital Computer Hardware	12-13	3	6
	Stenographic Hardware	03-04	12	14
		12-13	3	3
		14-15	1	3
	Transcription Workstation	05-06	10	8
	Video Server	03-04	12	1
		04-05	11	3
		05-06	10	2
		06-07	9	1
		07-08	8	1
		12-13	3	20
		13-14	2	4
Liberty	Analog A/V	Prior to 01-02	15	1
	Video Server	12-13	3	2

Court Reporting Statistics
Second Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Wakulla	Analog A/V	Prior to 01-02	15	2
	Other Digital Computer Hardware	12-13	3	2
	Stenographic Hardware	03-04	12	1
	Video Server	06-07	9	2
		12-13	3	4

Court Reporting Statistics
Third Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Columbia	Analog A/V	07-08	8	1
	Digital A/V	05-06	10	6
		06-07	9	3
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	07-08	8	1
		12-13	3	8
	Primary Server	05-06	10	1
		11-12	4	2
	Real-Time Hardware	04-05	11	1
		06-07	9	1
	Secondary Server	05-06	10	2
	Standalone Workstation	05-06	10	2
		15-16	0	1
	Stenographic Hardware	Prior to 01-02	15	2
		05-06	10	1
Dixie	Analog A/V	07-08	8	1
	Digital A/V	05-06	10	2
		06-07	9	1
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	07-08	8	1
		12-13	3	3
		13-14	2	1
	Primary Server	05-06	10	1
	Secondary Server	05-06	10	1
Hamilton	Digital A/V	05-06	10	2
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	12-13	3	2
	Primary Server	05-06	10	1

Court Reporting Statistics
Third Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Lafayette	Digital A/V	05-06	10	2
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	12-13	3	2
		13-14	2	1
	Primary Server	05-06	10	1
	Secondary Server	05-06	10	1
Madison	Digital A/V	05-06	10	2
		06-07	9	1
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	12-13	3	3
	Primary Server	05-06	10	1
	Secondary Server	05-06	10	1
Suwannee	Analog A/V	06-07	9	1
	Digital A/V	05-06	10	3
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	12-13	3	5
	Primary Server	05-06	10	1
	Real-Time Hardware	04-05	11	1
		06-07	9	1
	Secondary Server	05-06	10	1
	Standalone Workstation	03-04	12	1
		15-16	0	1
	Stenographic Hardware	05-06	10	1
Taylor	Digital A/V	05-06	10	3
		12-13	3	1
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	12-13	3	4
	Primary Server	05-06	10	1
	Secondary Server	05-06	10	1

Court Reporting Statistics
Fourth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Clay	Digital A/V	05-06	10	13
		06-07	9	19
		07-08	8	2
		09-10	6	26
		13-14	2	2
	Infrastructure	05-06	10	4
		06-07	9	17
		08-09	7	1
		09-10	6	1
	Other Digital Computer Hardware	05-06	10	1
		06-07	9	7
		08-09	7	1
		09-10	6	24
		13-14	2	1
	Primary Server	13-14	2	1
	Secondary Server	08-09	7	1
		13-14	2	1
	Standalone Workstation	05-06	10	6
		06-07	9	4
		13-14	2	1

Court Reporting Statistics
Fourth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Duval	Digital A/V	04-05	11	4
		06-07	9	7
		07-08	8	2
		08-09	7	4
		10-11	5	99
		13-14	2	10
	Infrastructure	04-05	11	3
		08-09	7	9
		13-14	2	1
	Other Digital Computer Hardware	04-05	11	20
		07-08	8	2
		08-09	7	12
		10-11	5	49
		13-14	2	3
	Primary Server	08-09	7	4
	Secondary Server	04-05	11	1
		08-09	7	4
	Standalone Workstation	04-05	11	17
		06-07	9	3
		08-09	7	2
		13-14	2	2

Court Reporting Statistics
Fourth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

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

Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Citrus	Analog A/V	05-06	10	2
		06-07	9	1
		07-08	8	2
		08-09	7	1
		09-10	6	1
		12-13	3	2
		13-14	2	1
		14-15	1	1
	Digital A/V	03-04	12	1
		05-06	10	9
		06-07	9	1
		08-09	7	1
	Handheld	05-06	10	6
	Infrastructure	05-06	10	4
		06-07	9	3
		07-08	8	2
		13-14	2	3
		14-15	1	2
	Other Digital Computer Hardware	05-06	10	4
		10-11	5	1
	Primary Server	14-15	1	1
	Secondary Server	14-15	1	1

Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hernando	Analog A/V	01-02	14	1
		04-05	11	1
		06-07	9	1
		11-12	4	1
		12-13	3	1
		13-14	2	3
		14-15	1	1
	Digital A/V	04-05	11	9
		08-09	7	1
		11-12	4	6
	Handheld	05-06	10	9
	Infrastructure	04-05	11	4
		05-06	10	5
		06-07	9	1
	Other Digital Computer Hardware	04-05	11	3
		11-12	4	1
	Standalone Workstation	03-04	12	1
		04-05	11	1

Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Lake	Analog A/V	04-05	11	8
		06-07	9	4
		12-13	3	2
		13-14	2	5
		14-15	1	1
	Digital A/V	04-05	11	3
		11-12	4	6
	Handheld	04-05	11	13
		13-14	2	1
	Infrastructure	04-05	11	3
		05-06	10	5
		06-07	9	1
		11-12	4	2
		12-13	3	2
		14-15	1	2
	Other Digital Computer Hardware	04-05	11	5
		06-07	9	1
		11-12	4	6
	Primary Server	11-12	4	2
		14-15	1	1
	Secondary Server	11-12	4	1
		14-15	1	1
	Standalone Workstation	13-14	2	1
	Video Server	11-12	4	1

Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Marion	Analog A/V	03-04	12	13
		04-05	11	1
		06-07	9	1
		07-08	8	2
		08-09	7	11
		11-12	4	10
		12-13	3	8
		13-14	2	2
		14-15	1	1
	Digital A/V	03-04	12	3
		11-12	4	3
		12-13	3	22
	Handheld	05-06	10	9
		06-07	9	1
	Infrastructure	03-04	12	1
		04-05	11	10
		05-06	10	2
		06-07	9	1
		07-08	8	2
		08-09	7	21
		09-10	6	11
		14-15	1	2
	Other Digital Computer Hardware	03-04	12	8
		05-06	10	1
		06-07	9	1
		08-09	7	12
		14-15	1	1
	Primary Server	11-12	4	2
		12-13	3	7
		14-15	1	2

Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Marion	Secondary Server	11-12	4	1
		12-13	3	1
		14-15	1	1
	Standalone Workstation	03-04	12	5
		06-07	9	3
		13-14	2	1
	Video Server	11-12	4	2

Court Reporting Statistics
Fifth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Sumter	Analog A/V	04-05	11	3
		06-07	9	2
		07-08	8	2
		12-13	3	1
	Digital A/V	04-05	11	3
		08-09	7	1
		11-12	4	1
	Handheld	05-06	10	3
	Infrastructure	05-06	10	1
		06-07	9	2
		09-10	6	1
	Other Digital Computer Hardware	06-07	9	2
		09-10	6	1
		14-15	1	2
	Primary Server	09-10	6	1
		14-15	1	2
	Secondary Server	09-10	6	1
		14-15	1	1
	Video Server	09-10	6	1

Court Reporting Statistics
Sixth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Pasco	Analog A/V	04-05	11	3
	Digital A/V	08-09	7	2
	Handheld	13-14	2	3
	Other Digital Computer Hardware	04-05	11	31
		05-06	10	1
		06-07	9	47
		07-08	8	24
		11-12	4	5
	Primary Server	08-09	7	1
		10-11	5	3
	Secondary Server	08-09	7	1
	Stenographic Hardware	04-05	11	2
		10-11	5	3
		12-13	3	3
		13-14	2	6

Court Reporting Statistics
Sixth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Pinellas	Analog A/V	04-05	11	10
		05-06	10	22
	Digital A/V	10-11	5	3
	Handheld	05-06	10	7
	Infrastructure	10-11	5	3
	Other Digital Computer Hardware	03-04	12	21
		04-05	11	47
		05-06	10	6
		06-07	9	2
		07-08	8	38
		08-09	7	8
		09-10	6	5
		10-11	5	5
		11-12	4	16
		12-13	3	1
		13-14	2	1
	Primary Server	07-08	8	2
		09-10	6	1
		10-11	5	1
	Secondary Server	07-08	8	2
		09-10	6	1
		10-11	5	1
	Stenographic Hardware	04-05	11	14
		08-09	7	5
		10-11	5	7
		11-12	4	2
	Video Server	10-11	5	1

Court Reporting Statistics
Seventh Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Flagler	Handheld	07-08	8	1
		12-13	3	3
	Other Digital Computer Hardware	06-07	9	3
		07-08	8	5
	Primary Server	06-07	9	1
	Real-Time Hardware	08-09	7	3
	Secondary Server	06-07	9	1
	Stenographic Hardware	08-09	7	3
	Video Server	06-07	9	1
Putnam	Handheld	14-15	1	1
	Infrastructure	03-04	12	2
		14-15	1	1
	Other Digital Computer Hardware	02-03	13	1
		05-06	10	1
		06-07	9	2
		10-11	5	7
		14-15	1	3
	Standalone Workstation	10-11	5	3
		14-15	1	3

Court Reporting Statistics
Seventh Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

St. Johns	Handheld	07-08	8	1
		08-09	7	1
	Infrastructure	05-06	10	1
	Other Digital Computer Hardware	05-06	10	5
		06-07	9	1
		10-11	5	7
		13-14	2	1
		14-15	1	1
	Primary Server	10-11	5	1
	Secondary Server	10-11	5	1
	Standalone Workstation	06-07	9	1
		10-11	5	3
		13-14	2	1
	Stenographic Hardware	07-08	8	1
	Video Server	10-11	5	1

Court Reporting Statistics
Seventh Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

Volusia	Analog A/V	06-07	9	1
	Digital A/V	04-05	11	1
	Handheld	12-13	3	1
	Infrastructure	05-06	10	1
		06-07	9	1
		14-15	1	1
	Other Digital Computer Hardware	03-04	12	2
		04-05	11	5
		05-06	10	13
		06-07	9	21
		07-08	8	1
		09-10	6	1
		10-11	5	6
		12-13	3	4
		13-14	2	3
		14-15	1	4
	Primary Server	08-09	7	1
		10-11	5	1
		12-13	3	1
	Secondary Server	08-09	7	1
		10-11	5	1
		12-13	3	1
	Standalone Workstation	06-07	9	1
		10-11	5	1
		13-14	2	4
	Video Server	05-06	10	2
		10-11	5	2

Court Reporting Statistics
Eighth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 20115-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Alachua	Analog A/V	02-03	13	1
		03-04	12	11
		04-05	11	10
		05-06	10	1
	Infrastructure	10-11	5	1
	Primary Server	08-09	7	2
		10-11	5	21
		12-13	3	1
	Secondary Server	07-08	8	1
		14-15	1	1
	Stenographic Hardware	Prior to 01-02	15	1
		03-04	12	2
		05-06	10	5
		12-13	3	5
Baker	Analog A/V	05-06	10	4
		08-09	7	1
	Primary Server	08-09	7	1
		10-11	5	4
	Secondary Server	10-11	5	1
Bradford	Analog A/V	03-04	12	6
		14-15	1	2
	Other Digital Computer Hardware	05-06	10	1
	Primary Server	10-11	5	5
	Secondary Server	10-11	5	1
Gilchrist	Analog A/V	06-07	9	2
		07-08	8	9
	Primary Server	10-11	5	5
	Secondary Server	10-11	5	1

Court Reporting Statistics
Eighth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 20115-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Levy	Analog A/V	04-05	11	5
	Other Digital Computer Hardware	04-05	11	1
	Primary Server	10-11	5	4
	Secondary Server	10-11	5	1
	Stenographic Hardware	12-13	3	1
Union	Analog A/V	05-06	10	4
	Primary Server	10-11	5	3
	Secondary Server	10-11	5	1

Court Reporting Statistics
Ninth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Orange	Digital A/V	05-06	10	1
		08-09	7	16
		11-12	4	4
		13-14	2	3
		14-15	1	3
	Infrastructure	05-06	10	74
		11-12	4	1
	Primary Server	11-12	4	6
	Standalone Workstation	13-14	2	1

Court Reporting Statistics
Tenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hardee	Analog A/V	10-11	5	12
	Digital A/V	05-06	10	2
		07-08	8	1
		09-10	6	17
		10-11	5	9
		11-12	4	2
		14-15	1	6
	Infrastructure	04-05	11	1
	Other Digital Computer Hardware	05-06	10	2
		14-15	1	1
	Primary Server	04-05	11	1
		09-10	6	3
	Secondary Server	04-05	11	2
		06-07	9	1
		09-10	6	2
	Standalone Workstation	04-05	11	1
		07-08	8	1
		08-09	7	1
		11-12	4	4

Court Reporting Statistics
Tenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Highlands	Analog A/V	04-05	11	7
		05-06	10	5
		10-11	5	42
	Digital A/V	04-05	11	1
		05-06	10	1
		06-07	9	1
		08-09	7	2
		09-10	6	56
		10-11	5	16
		11-12	4	14
		12-13	3	2
	Infrastructure	04-05	11	2
	Other Digital Computer Hardware	06-07	9	1
		08-09	7	1
		14-15	1	1
	Primary Server	08-09	7	1
		09-10	6	1
		10-11	5	1
		12-13	3	1
	Secondary Server	06-07	9	1
		08-09	7	1
		09-10	6	1
		10-11	5	9
	Standalone Workstation	04-05	11	2
		07-08	8	1
		11-12	4	1

Court Reporting Statistics
Tenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Polk	Analog A/V	05-06	10	4
		06-07	9	8
		07-08	8	18
	Digital A/V	01-02	14	9
		06-07	9	11
		07-08	8	18
		08-09	7	46
		09-10	6	73
		10-11	5	16
	Infrastructure	01-02	14	1
	Other Digital Computer Hardware	01-02	14	8
		02-03	13	2
		04-05	11	4
		14-15	1	3
	Primary Server	06-07	9	1
		09-10	6	1
		12-13	3	2
	Secondary Server	10-11	5	2
		14-15	1	3
	Standalone Workstation	04-05	11	1
		08-09	7	1

Court Reporting Statistics
Eleventh Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Miami-Dade	Digital A/V	Prior to 01-02	15	1
		07-08	8	1
	Handheld	06-07	9	3
	Infrastructure	10-11	5	58
	Other Digital Computer Hardware	02-03	13	3
		04-05	11	9
		05-06	10	1
		06-07	9	28
		10-11	5	8
		13-14	2	3
	Primary Server	10-11	5	1
	Real-Time Hardware	10-11	5	89
	Standalone Workstation	02-03	13	2
		04-05	11	11
		06-07	9	2
		10-11	5	19
	Stenographic Hardware	09-10	6	1

Court Reporting Statistics
Twelfth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
DeSoto	Digital A/V	05-06	10	4
	Other Digital Computer Hardware	05-06	10	2
		10-11	5	4
	Primary Server	10-11	5	1
	Secondary Server	10-11	5	1
	Video Server	10-11	5	1
Manatee	Digital A/V	05-06	10	2
		07-08	8	25
	Handheld	14-15	1	1
	Other Digital Computer Hardware	07-08	8	1
	Primary Server	05-06	10	2
		07-08	8	4
		13-14	2	4
	Secondary Server	07-08	8	2
		13-14	2	2
	Standalone Workstation	05-06	10	2
		13-14	2	2
	Stenographic Hardware	12-13	3	4
	Video Server	07-08	8	4

Court Reporting Statistics
Twelfth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Sarasota	Digital A/V	03-04	12	21
		06-07	9	3
	Handheld	14-15	1	1
	Other Digital Computer Hardware	05-06	10	3
		09-10	6	20
		13-14	2	2
	Primary Server	09-10	6	1
		13-14	2	5
	Secondary Server	13-14	2	4
	Standalone Workstation	04-05	11	2
		13-14	2	2
	Stenographic Hardware	12-13	3	4
	Video Server	09-10	6	3
		13-14	2	1

Court Reporting Statistics
Thirteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hillsborough	Analog A/V	02-03	13	14
		04-05	11	15
		05-06	10	330
		06-07	9	76
		08-09	7	70
	Digital A/V	02-03	13	1
		03-04	12	4
		04-05	11	23
		05-06	10	2
		06-07	9	141
		07-08	8	12
		08-09	7	19
		09-10	6	9
		10-11	5	7
		11-12	4	6
		13-14	2	60
	Handheld	04-05	11	1
		05-06	10	1
		06-07	9	9
		08-09	7	10
		11-12	4	5
	Infrastructure	03-04	12	3
		05-06	10	20
		06-07	9	135
		07-08	8	3
		09-10	6	19
		10-11	5	74
		11-12	4	128
		13-14	2	8

Court Reporting Statistics
Thirteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Hillsborough	Other Digital Computer Hardware	03-04	12	1
		04-05	11	1
		05-06	10	19
		06-07	9	12
	Primary Server	02-03	13	53
		04-05	11	4
		06-07	9	4
	Real-Time Hardware	08-09	7	12
		09-10	6	1
		11-12	4	13
		13-14	2	4
		14-15	1	1
	Secondary Server	02-03	13	2
		03-04	12	1
		04-05	11	14
		06-07	9	32
		08-09	7	25
	Standalone Workstation	13-14	2	119
	Stenographic Hardware	03-04	12	1
		06-07	9	2
		10-11	5	16
		11-12	4	9
		12-13	3	71
	Transcription Workstation	08-09	7	34
		14-15	1	38
	Video Server	03-04	12	1
		06-07	9	1

Court Reporting Statistics
Fourteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Bay	Digital A/V	01-02	14	2
		03-04	12	2
		04-05	11	15
		05-06	10	4
		06-07	9	87
		08-09	7	9
		09-10	6	3
		12-13	3	1
	Handheld	06-07	9	20
	Infrastructure	04-05	11	5
		06-07	9	95
		07-08	8	5
	Networked Monitor Workstation	06-07	9	1
		09-10	6	4
	Other Digital Computer Hardware	01-02	14	1
		04-05	11	2
		05-06	10	9
		06-07	9	44
		08-09	7	14
		13-14	2	53
	Primary Server	04-05	11	1
		05-06	10	1
		06-07	9	6
		08-09	7	4
		09-10	6	16
		13-14	2	22
	Secondary Server	05-06	10	1
		06-07	9	1
		08-09	7	2
	Standalone Workstation	04-05	11	1
		06-07	9	3
		09-10	6	3
	Stenographic Hardware	06-07	9	11
	Transcription Workstation	05-06	10	1
		08-09	7	5
	Video Server	08-09	7	1

Court Reporting Statistics
Fourteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

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

Court Reporting Statistics
Fourteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Washington	Digital A/V	04-05	11	5
	Digital A/V	06-07	9	7
	Digital A/V	08-09	7	2
	Infrastructure	06-07	9	5
	Other Digital Computer Hardware	06-07	9	1
	Other Digital Computer Hardware	13-14	2	1
	Primary Server	09-10	6	1
	Primary Server	13-14	2	3

Court Reporting Statistics
Fifteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Palm Beach	Analog A/V	Prior to 00-01	15	48
	Digital A/V	04-05	11	1
		05-06	10	21
		06-07	9	6
		09-10	6	25
		11-12	4	4
		12-13	3	2
	Infrastructure	Prior to 01-02	15	1
		06-07	9	1
		09-10	6	4
		10-11	5	4
	Other Digital Computer Hardware	06-07	9	2
	Primary Server	04-05	11	5
		05-06	10	9
		06-07	9	3
		08-09	7	1
		09-10	6	26
		10-11	5	3
		11-12	4	13
		13-14	2	5
	Secondary Server	06-07	9	1
		09-10	6	2
		10-11	5	3
	Standalone Workstation	02-03	13	1
		10-11	5	1
	Stenographic Hardware	05-06	10	14
		09-10	6	12
	Video Server	09-10	6	1

Court Reporting Statistics
Sixteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Monore	Analog A/V	01-02	14	1
		02-03	13	1
		03-04	12	1
		04-05	11	3
		07-08	8	4
		08-09	7	7
		09-10	6	3
		12-13	3	1
	Handheld	04-05	11	16
		14-15	1	14
	Other Digital Computer Hardware	04-05	11	3
		05-06	10	8
		07-08	8	2
	Primary Server	05-06	10	1
	Standalone Workstation	04-05	11	3
		05-06	10	1
		06-07	9	3
	Stenographic Hardware	Prior to 01-02	15	3
		08-09	7	1
		13-14	2	2
	Transcription Workstation	Prior to 01-02	15	1
		04-05	11	1
		05-06	10	2
		12-13	3	1

Court Reporting Statistics
Seventeenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Broward	Digital A/V	02-03	13	46
		03-04	12	14
		04-05	11	10
		05-06	10	1
		06-07	9	1
		07-08	8	6
		09-10	6	7
		12-13	3	4
	Infrastructure	06-07	9	1
	Other Digital Computer Hardware	02-03	13	4
	Primary Server	03-04	12	3
		06-07	9	7
	Secondary Server	02-03	13	3
		03-04	12	3
	Standalone Workstation	02-03	13	2
		04-05	11	1
	Stenographic Hardware	02-03	13	1
	Video Server	06-07	9	2
	Video Server	10-11	5	6

Court Reporting Statistics
Eighteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Brevard	Digital A/V	05-06	10	2
		06-07	9	1
		09-10	6	1
		10-11	5	6
		11-12	4	14
		12-13	3	2
		13-14	2	40
	Handheld	05-06	10	2
		06-07	9	2
	Other Digital Computer Hardware	04-05	11	1
		05-06	10	30
		06-07	9	2
		07-08	8	4
		10-11	5	7
		11-12	4	14
		12-13	3	4
		13-14	2	33
	Primary Server	04-05	11	1
	Real-Time Hardware	05-06	10	1
	Stenographic Hardware	05-06	10	3

Court Reporting Statistics
Eighteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Seminole	Analog A/V	13-14	2	2
	Digital A/V	03-04	12	3
		07-08	8	6
		08-09	7	4
		12-13	3	2
		13-14	2	5
		14-15	1	5
	Other Digital Computer Hardware	02-03	13	1
		03-04	12	2
		04-05	11	3
		06-07	9	36
		08-09	7	7
		09-10	6	2
		10-11	5	10
		11-12	4	2
		13-14	2	3
		14-15	1	3
	Primary Server	04-05	11	2
	Secondary Server	04-05	11	1

Court Reporting Statistics
Nineteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 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	11	41
		08-09	7	2
	Digital A/V	04-05	11	11
		06-07	9	1
		09-10	6	1
		13-14	2	3
	Handheld	05-06	10	1
		07-08	8	1
		10-11	5	1
		14-15	1	2
	Infrastructure	04-05	11	3
	Primary Server	08-09	7	1
	Real-Time Hardware	04-05	11	21
		08-09	7	3
		09-10	6	8
	Secondary Server	08-09	7	1
	Standalone Workstation	09-10	6	1
	Video Server	09-10	6	2

Court Reporting Statistics
Nineteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Martin	Analog A/V	04-05	11	1
		05-06	10	33
		05-07	9	4
		05-08	8	4
		05-09	7	4
		07-08	8	14
	Digital A/V	05-06	10	16
		07-08	8	2
	Handheld	07-08	8	2
		10-11	5	1
		14-15	1	2
	Infrastructure	05-06	10	3
	Primary Server	09-10	6	4
	Real-Time Hardware	05-06	10	30
		05-07	9	1
		05-08	8	1
		05-09	7	1
		07-08	8	7
		08-09	7	1
		09-10	6	12
	Secondary Server	09-10	6	1
	Standalone Workstation	05-06	10	1
Okeechobee	Handheld	14-15	1	1
	Analog A/V	05-06	10	24
		05-09	7	1
	Digital A/V	05-06	10	9
		05-07	9	1
	Handheld	07-08	8	1
		10-11	5	1
		14-15	1	1
	Infrastructure	05-06	10	3
	Primary Server	09-10	6	3
	Real-Time Hardware	05-06	10	17
		09-10	6	6
	Secondary Server	09-10	6	1
	Standalone Workstation	05-06	10	1

Court Reporting Statistics
Nineteenth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Saint Lucie	Analog A/V	04-05	11	64
	Analog A/V	05-06	10	3
	Analog A/V	06-07	9	8
	Analog A/V	07-08	8	3
	Analog A/V	08-09	7	1
	Analog A/V	11-12	4	15
	Digital A/V	04-05	11	19
	Digital A/V	05-06	10	1
	Digital A/V	06-07	9	4
	Digital A/V	07-08	8	1
	Digital A/V	09-10	6	4
	Digital A/V	11-12	4	52
	Handheld	05-06	10	1
	Handheld	07-08	8	1
	Handheld	10-11	5	1
	Handheld	14-15	1	5
	Infrastructure	04-05	11	4
	Infrastructure	06-07	9	1
	Primary Server	04-05	11	1
	Primary Server	06-07	9	1
	Primary Server	08-09	7	2
	Primary Server	09-10	6	1
	Real-Time Hardware	04-05	11	44
	Real-Time Hardware	05-06	10	2
	Real-Time Hardware	06-07	9	5
	Real-Time Hardware	07-08	8	4
	Real-Time Hardware	08-09	7	2
	Real-Time Hardware	09-10	6	16
	Secondary Server	06-07	9	1
	Secondary Server	08-09	7	1
	Secondary Server	09-10	6	1
	Standalone Workstation	09-10	6	1
	Video Server	09-10	6	3

Court Reporting Statistics
Twentieth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Charolotte	Analog A/V	03-04	12	1
	Digital A/V	03-04	12	17
		04-05	11	21
		05-06	10	24
		07-08	8	1
		08-09	7	1
		13-14	2	1
	Infrastructure	05-06	10	1
		07-08	8	3
		09-10	6	1
		13-14	2	2
	Primary Server	14-15	1	1
	Secondary Server	07-08	8	1
		14-15	1	1
Collier	Analog A/V	03-04	12	1
	Digital A/V	03-04	12	22
		04-05	11	57
		05-06	10	28
		06-07	9	30
		07-08	8	3
		09-10	6	3
		13-14	2	5
	Infrastructure	05-06	10	4
		09-10	6	11
	Other Digital Computer Hardware	04-05	11	1
	Primary Server	08-09	7	1
		13-14	2	2
	Secondary Server	07-08	8	2
	Video Server	05-06	10	1

Court Reporting Statistics
Twentieth Judicial Circuit
Type of Equipment Purchased

Note: Based on FY 2015-16 Digital Court Reporting Inventory

County	Type of Equipment	Fiscal Year Purchased	Age of Equipment (in Years)	Number Purchased
Glades	Digital A/V	02-03	13	1
		04-05	11	2
		06-07	9	2
		09-10	6	1
		12-13	3	1
	Infrastructure	02-03	13	1
		09-10	6	2
	Primary Server	08-09	7	1
Hendry	Digital A/V	02-03	13	3
		04-05	11	3
		05-06	10	3
		06-07	9	9
		08-09	7	1
		13-14	2	3
	Infrastructure	02-03	13	3
		06-07	9	2
	Primary Server	08-09	7	1
	Secondary Server	08-09	7	1
	Video Server	08-09	7	1
Lee	Digital A/V	03-04	12	54
		05-06	10	104
		06-07	9	82
		08-09	7	41
		09-10	6	7
		11-12	4	5
		12-13	3	1
		13-14	2	1
	Infrastructure	03-04	12	28
		05-06	10	4
		06-07	9	12
		08-09	7	6
		09-10	6	1
	Other Digital Computer Hardware	04-05	11	3
		05-06	10	7
	Primary Server	14-15	1	5
	Secondary Server	07-08	8	1
		14-15	1	3

Appendix S – Statewide CAPS Viewer Implementation Estimates for FY 2016-17 LBR

Statewide CAPS Viewer Implementation Estimates for FY 16/17 LBR

CAPS Viewer/Secure Transmission of Orders to the Clerks of Court/Disaster Recovery/Maintenance/Bandwidth

	Hardware	Programming		Software License (In-House Systems)		Secure Transmission of Orders		Disaster Recovery		CAPS Viewer Maintenance	Additional Bandwidth	Totals		
Circuit	FY 16/17 CAPS Viewer Hardware	FY 16/17 CAPS Viewer Programming (integration)	FY 16/17 CAPS Viewer Programming Annual Costs	FY 16/17 CAPS Viewer Software Licenses	FY 16/17 CAPS Viewer Software Licenses Annual Costs	FY 16/17 Secure Transmission	FY 16/17 Secure Transmission Annual Costs	FY 16/17 Disaster Recovery	FY 16/17 Disaster Recovery Annual Costs	FY 16/17 CAPS Viewer Annual Costs	FY 16/17 Additional Bandwidth Annual Costs	FY 16/17 Total CAPS Viewer Non- Recurring Costs	FY 16/17 Total CAPS Viewer Recurring Costs	FY 16/17 LBR Grand Total CAPS Viewer Costs
	Non Recurring	Non Recurring	Recurring	Non-Recurring	Recurring	Non Recurring	Recurring	Non-Recurring	Recurring	Recurring	Recurring	Non-Recurring	Recurring	Grand Total
1	$0	$0	$0	$0	$0	$60,000	$7,200	$100,000	$0	$79,200	$0	$160,000	$86,400	$246,400
2	$25,900	$0	$15,000	$0	$0	$50,000	$4,000	$92,000	$0	$44,250	$83,614	$167,900	$146,864	$314,764
3	$0	$0	$0	$0	$0	$46,800	$2,400	$70,000	$0	$24,652	$186,646	$116,800	$213,698	$330,498
4	$27,000	$356,150	$0	$82,550	$15,200	$0	$0	$111,000	$27,500	$87,323	$0	$576,700	$130,023	$706,723
5	$82,400	$50,000	$0	$0	$0	$78,000	$5,600	$216,000	$0	$70,000	$82,952	$426,400	$158,552	$584,952
6	$0	$66,000	$0	$0	$0	$0	$0	$0	$0	$90,500	$42,086	$66,000	$132,586	$198,586
7	$0	$0	$0	$0	$0	$20,000	$2,000	$0	$0	$60,000	$105,324	$20,000	$167,324	$187,324
8	$0	$0	$200,000	$0	$0	$75,000	$0	$46,627	$0	$65,500	$225,834	$121,627	$491,334	$612,961
9	$0	$0	$0	$0	$0	$56,000	$8,800	$0	$10,000	$102,258	$0	$56,000	$121,058	$177,058
10	$0	$0	$0	$0	$0	$0	$0	$0	$12,000	$102,500	$60,995	$0	$175,495	$175,495
11	$43,200	$0	$0	$0	$0	$0	$0	$122,000	$20,000	$104,363	$0	$165,200	$124,363	$289,563
12	$0	$0	$0	$0	$0	$152,000	$6,000	$0	$0	$0	$43,351	$152,000	$49,351	$201,351
13	$6,000	$228,804	$0	$0	$0	$57,200	$0	$0	$0	$101,000	$31,472	$292,004	$132,472	$424,476
14	$0	$0	$0	$0	$0	$0	$0	$0	$10,000	$51,000	$109,348	$0	$170,348	$170,348
15	$37,247	$0	$0	$0	$0	$0	$0	$20,940	$0	$150,000	$11,512	$58,187	$161,512	$219,699
16	$0	$0	$0	$0	$0	$0	$0	$0	$0	$27,500	$11,512	$0	$39,012	$39,012
17	$0	$338,000	$0	$0	$16,000	$284,000	$0	$0	$0	$120,000	$0	$622,000	$136,000	$758,000
18	$21,500	$0	$0	$0	$0	$0	$0	$47,500	$0	$52,500	$23,024	$69,000	$75,524	$144,524
19	$0	$80,000	$0	$0	$0	$0	$4,000	$260,000	$0	$47,960	$123,526	$340,000	$175,486	$515,486
20	$0	$0	$0	$0	$0	$78,000	$8,800	$60,000	$0	$101,982	$119,792	$138,000	$230,574	$368,574
Totals	$243,247	$1,118,954	$215,000	$82,550	$31,200	$957,000	$48,800	$1,146,067	$79,500	$1,482,488	$1,260,988	$3,547,818	$3,117,976	$6,665,794

Appendix T – Hardware Refresh Summary

State Courts System - Trial Courts

CAPS Technology Hardware Inventory*

Used to calculate CAPS Hardware 3-Year Refresh Needs

Circuit	Current and Requested Hardware	Amount
1	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	
	(6) Laptops with Monitor and Docking Station	$9,000
	(1) Desktop PC	$1,000
	(7) Printers	$2,100
	(2) Network Scanners	$3,200
	PC equipment	$45,000
	FY 2016-17 Requested Hardware:	$0
1st Total		**$60,300**
2	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	
	(20) Workstations and Monitors	$28,238
	Software and Licenses related to SQL server	$30,650
	(6) External harddrives to transfer files to-from Mentis	$1,912
	(10) UPS's placed in network closets in following counties:	$4,500
	Franklin-(2); Gadsden-(3); Jefferson-(2); Liberty-(2); Wakulla-(1)	
	FY 2016-17 Requested Hardware:	
	(14) Monitors	$4,900
	(14) Workstations	$14,000
	(14) UPS, Keyboards, etc.	$7,000
2nd Total		**$91,200**
3	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	
	Monitors, tablets, etc.	$20,000
	FY 2016-17 Requested Hardware:	$0
3rd Total		**$20,000**
4	**CAPS Viewer - C.O.R.E.**	
	Foreclosure Funding hardware purchases:	
	(2) Courtroom upgrades: hardware; wiring, monitors, transmittors and wallplates	$16,135
	FY 2016-17 Requested Hardware:	$0
4th Total		**$16,135**
5	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	
	(9) Dell Optiplex 7010 Desktops	$5,548
	(9) Dell Monitors VK278Q	$2,724
	(101) Planar PXL2430MW - LED Monitor	$30,390
	(25) ASUS VE248H - LED Monitor	$4,565
	(13) ASUS Vivo Book S550CA DS51T - Ultrabook	$8,658
	Desktop Scanner	$365
	CAPS viewer storage system - SAN	$109,088
	Multi-Function Printers (MFP)	$2,306
	Printers	$1,201
	Scanners	$6,868
	Scanner/MFP Carts	$537
	(2) DP Polycom videoconference equipment	$7,737
	FY 2016-17 Requested Hardware:	
	(56) articulating arms for courtroom monitors	$22,400
5th Total		**$202,387**

State Courts System - Trial Courts

CAPS Technology Hardware Inventory*

Used to calculate CAPS Hardware 3-Year Refresh Needs

Circuit	Current and Requested Hardware	Amount
6	**CAPS Viewer - JAWS**	
	Foreclosure Funding hardware purchases:	
	(38) Displays 24"	$10,070
	(29) Ergotron LX Desk Mount 27" LCD Arm	$3,248
	(29) DBI-D Digital Video Monitor Extension Cable 6'	$406
	(29) Tripp Lite 6' Power cord Extension	$174
	(33) Desktops	$26,005
	(2) Peavey MediaMatrix, VSC-101 Scaling Switcher	$1,750
	Peavey MedMatrix, NION n6, Digital Audio Processor w/Cobranet	$7,178
	(2) Peavey MediaMatrix, NIO-8ml ll, 8 channel mic/line Input Card	$1,438
	(48) Scaler for Courtrooms	$42,000
	Scaler installation support items	$6,737
	(16) Notebooks w/ADP and Computrace	$20,057
	(21) Printers	$5,229
	FY 2016-17 Requested Hardware:	$0
6th Total		**$124,292**
7	**CAPS Viewer - Pioneer**	
	Foreclosure Funding hardware purchases:	$0
	FY 2016-17 Requested Hardware:	$0
7th Total		**$0**
8	**CAPS Viewer - ICMS**	
	Foreclosure Funding hardware purchases	
	HP Switches for Windows Servers	$26,480
	Network Attached Storage Device	$25,315
	Switches for additional network redundancy throughout (6) counties	$94,301
	Training for switches	$5,699
	(86) Low profile touch screen monitors	$49,793
	(28) Workstations	$36,100
	(28) Peripherals (Mice, Keyboards)	$798
	Additional part for switches	$1,807
	FY 2016-17 Requested Hardware:	$0
8th Total		**$240,293**
9	**CAPS Viewer - Mentis**	
	Foreclosure Funding purchases:	$0
	FY 2016-17 Requested Hardware:	$0
9th Total		**$0**
10	**CAPS Viewer - ICMS**	
	Foreclosure Funding hardware purchases:	
	(6) Desktop Computers - (2 each for Judge/JA/Case Manager)	$6,000
	(12) Monitors	$3,000
	FY 2016-17 Requested Hardware:	$0
10th Total		**$9,000**

State Courts System - Trial Courts

CAPS Technology Hardware Inventory*

Used to calculate CAPS Hardware 3-Year Refresh Needs

Circuit	Current and Requested Hardware	Amount
11	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	
	(17) Dell Workstations	$10,200
	(15) Dell Latitude Laptops	$11,379
	Dell Latitude E5430 Laptop	$751
	(16) Dell Port Replicator	$1,408
	Dell B2360DN Printer	$287
	(5) Dell Pro P2012H Monitors	$675
	FY 2016-17 Requested Hardware:	
	(54) Workstations	$43,200
11th Total		**$67,900**
12	**CAPS Viewer - Mentis (Desoto/Manatee) & Pioneer (Sarasota)**	
	Foreclosure Funding hardware purchases:	$0
	FY 2016-17 Requested Hardware:	$0
12th Total		**$0**
13	**CAPS Viewer - JAWS**	
	Foreclosure Funding hardware purchases:	
	(5) Color Duplex Document Scanner - FI-6670	$22,451
	(32) OptiPlex 7010n Mini Tower	$29,237
	(42) Dell P2212H 21.5 Widescreen Flat Panel Monitor	$5,964
	(12) Targus USB 3/0 Super Speed Dual Video Docking Station	$1,696
	(12) XPS 12 Convertible Ultrabook	$18,692
	(6) Ken USB 3.0 Dock Station DVI/HDMI/VGA	$852
	(7) Surface Pro Core Touch/W8P Microsoft Tablet	$6,552
	(7) Surface Microsoft Cover	$872
	FY 2016-17 Requested Hardware:	
	(10) Monitors	$6,000
13th Total		**$92,316**
14	**CAPS Viewer - ICMS**	
	Foreclosure Funding hardware purchases:	
	(4) Monitors @ $200	$800
	Video Card	$150
	Printer	$500
	(25) ICMS Client/Bench PC Client Hardware	$25,000
	(25) ICMS Monitors Client Hardware	$8,750
	FY 2016-17 Requested Hardware:	$0
14th Total		**$35,200**
15	**CAPS Viewer - ICMS**	
	Foreclosure Funding hardware purchases:	
	(4) PC/Double Monitors - Senior Judge foreclosure courtrooms	$3,600
	(7) PC/Double Monitors - Case management staff	$6,300
	(4) PC/Double Monitors - Courtroom support staff	$3,600
	FY 2016-17 Requested Hardware:	
	(66) Monitors	$10,724
	(2) Monitors + (2) articulating arms for (33) venues	$26,523
15th Total		**$50,747**

State Courts System - Trial Courts

CAPS Technology Hardware Inventory*

Used to calculate CAPS Hardware 3-Year Refresh Needs

Circuit	Current and Requested Hardware	Amount
16	**CAPS Viewer - JAWS**	
	Foreclosure Funding hardware purchases:	
	(19) Workstations	$35,150
	FY 2016-17 Requested Hardware:	$0
16th Total		**$35,150**
17	**CAPS Viewer - IN-HOUSE**	
	Foreclosure Funding hardware purchases:	
	(22) Dell Lattitude E5530 Laptops	$14,431
	(22) Top Loading Laptop Case	$924
	(22) Port Replicator Kit	$2,618
	(54) Desktops w/touch screen monitor - Optiplex 9010 AIO EPA with camera	$68,512
	(36) Combination Laptop Lock	$785
	(18) Printers Lexmark T652N	$10,228
	(36) Targus Security Plate	$234
	(18) Poloycom Soundstation duo	$10,750
	Polycom Expansion Microphone Kit for CX3000 & Sound Station Duo	$3,059
	Audiovox Telephone Duplex Phone Adapter	$76
	Backup storage with cage	$23,567
	New Case Manager PC, UPS backup for network, Scanner, Tablet PC	$260
	FY 2016-17 Requested Hardware:	$0
17th Total		**$135,444**
18	**CAPS Viewer - ICMS (Brevard) & IN-HOUSE (Seminole)**	
	Foreclosure Funding hardware purchases:	
	(1) Laptop/(1) Printer	$2,400
	(3) Monitors	$2,700
	(3) Dell Drive Array/Controller/Drives	$24,000
	(9) Laptops, Monitors, Keyboards/mice	$10,800
	FY 2016-17 Requested Hardware:	
	(50) Monitors	$6,500
	(25) Workstations	$15,000
18th Total		**$61,400**
19	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	
	CDWG Network Modules	$2,590
	CDWG UPS Devices	$5,475
	Workstations/Monitors	$8,610
	FY 2016-17 Requested Hardware:	$0
19th Total		**$16,675**
20	**CAPS Viewer - Mentis**	
	Foreclosure Funding hardware purchases:	$0
	FY 2016-17 Requested Hardware:	$0
20th Total		**$0**
Total CAPS Hardware* (Current and Requested)		**$1,258,439**

* Servers are not included in this hardware inventory but are included in separate inventory for refresh estimates

Appendix U – Trial Court Budget Commission's Recommendations of the Court Reporting Technology Workgroup

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 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.

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 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.

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 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.

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 (state only)	Hearing Rooms	Hearing Room Est. Costs (state only)	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.

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).**

<u>Software Transfer Recommended Methodology:</u>

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>.

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Appendix V – Court Reporting and Court Interpreting Funding Request Amounts by Circuit for FY 2016-17 LBR

State Courts System

Court Reporting and Court Interpreting LBR 2016-17 - Funding Request Amounts by Circuit

	Court Reporting Equipment Expansion			Court Reporting Equipment - Refresh/Maintenance		Court Reporting - OpenCourt	Remote Interpreting Equipment		
Circuit	CR	HR	Non-Recurring	Non-Recurring	Recurring	Recurring	CR	WS	Non-Recurring
0								59	$371,750
1	4	1	$108,725	$69,204	$157,481				
2	4	7	$22,500		$45,256		1	2	$24,000
3	14	11	$20,000	$53,736	$52,629		2		$26,000
4		6	$62,184	$75,199	$55,914				
5					$317,076		26	5	$365,500
6					$227,305		11	2	$154,000
7	5		$60,000	$40,814	$90,079			1	$5,500
8					$160,732	$175,000	22	2	$297,000
9					$103,468		2		$26,000
10	10		$20,000	$91,340	$73,895		18	6	$267,000
11					$164,934				
12	3		$78,165		$190,967				
13	10	1	$175,343	$188,237	$345,828		10		$130,000
14	8		$120,000	$132,349	$64,725		12	1	$161,500
15	6		$73,300	$173,359	$113,430		18	2	$245,000
16					$26,319		1		$13,000
17				$99,728	$68,831				
18	2		$46,010	$124,427	$68,855		11	2	$154,000
19				$284,970	$110,022		8	3	$120,500
20	1		$10,350	$234,948	$159,708		4		$52,000
State Total	**67**	**26**	**$796,577**	**$1,568,311**	**$2,597,454**	**$175,000**	**146**	**85**	**$2,412,750**
Issue Total	**$796,577**			**$4,165,765**		**$175,000**	**$2,412,750**		

CR = Courtroom (Large/Ceremonial and Small to Midsize)

HR = Hearing Room (Integrated and Standalone)

WS = Interpreter Office Workstation

	Estimated Max Costs	
	Court Reporting	Remote Interpreting
Large/Ceremonial Courtroom	$26,055	$13,000
Small to Midsize Courtroom	$19,955	
Integrated Hearing Room	$16,705	N/A
Standalone Hearing Room	$14,750	N/A
Court Reporter Stenography	$13,400	N/A
Interpreter Office	N/A	$5,500

Note: Actual costs vary by circuit based on local configurations and market conditions.

Appendix W – Estimated Funding Requirements for Minimum Technology Service Levels Based on DFS Expenditure Information

Estimated Funding Requirements for Minimum Technology Service Levels Based on Department of Financial Services (DFS) Expenditure Information

County	Population Estimate April 1, 2014	2012/13 DFS County Technology Expenditures	Expenditures Per Person	Estimated Total Funding Needed Based on $1.25	Difference	Total New Funding Needed
Alachua County	250,730	$304,112	$1.21	$313,413	$9,301	$9,301
Baker County	26,991	$38,944	$1.44	$33,739	($5,205)	$0
Bay County	170,781	$210,527	$1.23	$213,476	$2,949	$2,949
Bradford County	27,323	$37,088	$1.36	$34,154	($2,934)	$0
Brevard County	552,427	$330,238	$0.60	$690,534	$360,296	$360,296
Broward County	1,803,903	$416,324	$0.23	$2,254,879	$1,838,555	$1,838,555
Calhoun County	14,592	$16,129	$1.11	$18,240	$2,111	$2,111
Charlotte County	164,467	$66,012	$0.40	$205,584	$139,572	$139,572
Citrus County	140,798	$228,523	$1.62	$175,998	($52,526)	$0
Clay County	197,403	$59,506	$0.30	$246,754	$187,248	$187,248
Collier County	336,783	$172,119	$0.51	$420,979	$248,859	$248,859
Columbia County	67,826	$36,771	$0.54	$84,783	$48,012	$48,012
DeSoto County	34,426	$7,853	$0.23	$43,033	$35,179	$35,179
Dixie County	16,356	$22,342	$1.37	$20,445	($1,897)	$0
Duval County	890,066	$821,869	$0.92	$1,112,583	$290,714	$290,714
Escambia County	303,907	$213,404	$0.70	$379,884	$166,480	$166,480
Flagler County	99,121	$47,730	$0.48	$123,901	$76,171	$76,171
Franklin County	11,794	$11,512	$0.98	$14,743	$3,231	$3,231
Gadsden County	48,096	$31,464	$0.65	$60,120	$28,656	$28,656
Gilchrist County	16,853	$25,537	$1.52	$21,066	($4,471)	$0
Glades County	12,852	$16,033	$1.25	$16,065	$32	$32
Gulf County	16,543	$6,515	$0.39	$20,679	$14,164	$14,164
Hamilton County	14,351	$14,972	$1.04	$17,939	$2,967	$2,967
Hardee County	27,712	$31,499	$1.14	$34,640	$3,141	$3,141
Hendry County	37,895	$56,885	$1.50	$47,369	($9,516)	$0
Hernando County	174,955	$131,306	$0.75	$218,694	$87,388	$87,388
Highlands County	99,818	$48,904	$0.49	$124,773	$75,869	$75,869
Hillsborough County	1,301,887	$4,362,087	$3.35	$1,627,359	($2,734,728)	$0
Holmes County	20,025	$26,554	$1.33	$25,031	($1,523)	$0
Indian River County	140,955	$226,334	$1.61	$176,194	($50,140)	$0
Jackson County	50,231	$49,954	$0.99	$62,789	$12,835	$12,835
Jefferson County	14,597	$910	$0.06	$18,246	$17,336	$17,336
Lafayette County	8,696	$10,057	$1.16	$10,870	$813	$813
Lake County	309,736	$387,839	$1.25	$387,170	($669)	$0
Lee County	653,485	$754,041	$1.15	$816,856	$62,815	$62,815
Leon County	281,292	$195,225	$0.69	$351,615	$156,390	$156,390
Levy County	40,473	$44,014	$1.09	$50,591	$6,577	$6,577
Liberty County	8,668	$2,790	$0.32	$10,835	$8,045	$8,045
Madison County	19,303	$46,644	$2.42	$24,129	($22,515)	$0
Manatee County	339,545	$306,328	$0.90	$424,431	$118,103	$118,103
Marion County	337,455	$2,025,503	$6.00	$421,819	($1,603,684)	$0
Martin County	148,585	$50,604	$0.34	$185,731	$135,127	$135,127
Miami-Dade County	2,613,692	$4,043,727	$1.55	$3,267,115	($776,612)	$0
Monroe County	74,044	$83,210	$1.12	$92,555	$9,345	$9,345
Nassau County	75,321	$18,439	$0.24	$94,151	$75,712	$75,712
Okaloosa County	190,666	$92,618	$0.49	$238,333	$145,714	$145,714
Okeechobee County	39,828	$94,442	$2.37	$49,785	($44,657)	$0

Estimated Funding Requirements for Minimum Technology Service Levels Based on Department of Financial Services (DFS) Expenditure Information

County	Population Estimate April 1, 2014	2012/13 DFS County Technology Expenditures	Expenditures Per Person	Estimated Total Funding Needed Based on $1.25	Difference	Total New Funding Needed
Orange County	1,227,995	$3,683,416	$3.00	$1,534,994	($2,148,422)	$0
Osceola County	295,553	$151,412	$0.51	$369,441	$218,029	$218,029
Palm Beach County	1,360,238	$1,007,708	$0.74	$1,700,298	$692,589	$692,589
Pasco County	479,340	$412,319	$0.86	$599,175	$186,856	$186,856
Pinellas County	933,258	$1,293,428	$1.39	$1,166,573	($126,856)	$0
Polk County	623,174	$342,793	$0.55	$778,968	$436,175	$436,175
Putnam County	72,523	$145,207	$2.00	$90,654	($54,553)	$0
St. Johns County	207,443	$21,633	$0.10	$259,304	$237,671	$237,671
St. Lucie County	282,821	$49,794	$0.18	$353,526	$303,732	$303,732
Santa Rosa County	159,785	$109,252	$0.68	$199,731	$90,479	$90,479
Sarasota County	387,140	$805,257	$2.08	$483,925	($321,332)	$0
Seminole County	437,086	$341,883	$0.78	$546,358	$204,475	$204,475
Sumter County	111,125	$154,248	$1.39	$138,906	($15,342)	$0
Suwannee County	44,168	$34,118	$0.77	$55,210	$21,092	$21,092
Taylor County	22,932	$19,365	$0.84	$28,665	$9,300	$9,300
Union County	15,647	$0	$0.00	$19,559	$19,559	$19,559
Volusia County	503,851	$416,683	$0.83	$629,814	$213,131	$213,131
Wakulla County	31,285	$12,964	$0.41	$39,106	$26,142	$26,142
Walton County	59,793	$10,930	$0.18	$74,741	$63,811	$63,811
Washington County	24,959	$7,576	$0.30	$31,199	$23,622	$23,622
Florida	19,507,369	$ 25,245,424	$1.29			$7,116,370
				Net (Minus FTE LBR costs)		**$4,150,195**
Average Cost Per Person for 3 Counties Highlighted			$1.25			

[1] The April 1, 2010 census counts include all corrections resulting from the U.S. Census Bureau's 2010 Census Count Question Resolution (CQR) Program received by the Florida Legislative Office of Economic and Demographic Research as of February 11, 2014.

Source: University of Florida, Bureau of Economic and Business Research, 10/15/2014.

Appendix X – Class Specification for Information Resource Management Consultant

Florida State Courts System
Class Specification

Class Title: Information Resource Management Consultant

Class Code: 4070

Pay Grade: 110

General Description

The essential function of the position within the organization is to serve in a leadership role in the management of technology projects for the trial courts. The position is responsible for projects of responsibility, providing consulting services for trial courts, preparing/developing documents and reports, and staffing for various committees and commissions. The position works under general supervision independently developing work methods and sequences.

Examples of Work Performed

(Note: The examples of work as listed in this class specification are not necessarily descriptive of any one position in the class. The omission of specific statements does not preclude management from assigning specific duties not listed herein if such duties are a logical assignment to the position.)

Serves in a leadership role in the management of assigned technology projects for the trial courts.

Provides system support, including writing and updating system training manuals and conducting system training and demonstrations statewide.

Works with teams to study, analyze and plan for major technology projects statewide; analyzes program goals and objectives to identify opportunities to utilize information technology to achieve maximum efficiency.

Provides consulting services for trial courts, including making site visits to evaluate systems and preparing reports, analyses, and recommendations.

Staff to various commissions and committees, such as the Trial Court Technology Committee, Florida Courts Technology Commission or the E-filing Committee.

Performs administrative functions, such as preparing surveys, reports, grant applications, budget requests or memoranda; develops ITN's, RFP's, contracts and statements of work.

Attends or conducts staff and other professional meetings to exchange information; attends technical or professional workshops or seminars to improve technical or professional skills.

Competencies

Data Responsibility:

Refers to information, knowledge, and conceptions obtained by observation, investigation, interpretation, visualization, and mental creation. Data are intangible and include numbers, words, symbols, ideas, concepts, and oral verbalizations.

Synthesizes or integrates analysis of data or information to discover facts or develop knowledge or interpretations; modifies policies, procedures, or methodologies based on findings.

People Responsibility:

Refers to individuals who have contact with or are influenced by the position.

Supervises or directs others by determining or interpreting work procedures, assigning specific duties, maintaining harmonious relations, and promoting efficiency.

Assets Responsibility:

Refers to the responsibility for achieving economies or preventing loss within the organization.

Requires responsibility and opportunity for achieving moderate economies and/or preventing moderate losses through the administration of grants or the handling of moderate amounts of money.

Mathematical Requirements:

Deals with quantities, magnitudes, and forms and their relationships and attributes by the use of numbers and symbols.

Uses practical application of fractions, percentages, ratios and proportions, measurements, or logarithms; may use algebraic solutions of equations and equalities, deductive geometry, and/or descriptive statistics.

Communications Requirements:

Involves the ability to read, write, and speak.

Reads professional publications; composes complex reports and manuals; speaks formally to groups outside the organization.

Complexity of Work:

Addresses the analysis, initiative, ingenuity, creativity, and concentration required by the position and the presence of any unusual pressures.

Performs work involving the application of principles of logical thinking, scientific or legal practice to diagnose or define problems, collect data and solve abstract

problems with widespread unit or organization impact; requires sustained, intense concentration for accurate results and continuous exposure to unusual pressure.

Impact of Decisions:

Refers to consequences such as damage to property, loss of data or property, exposure of the organization to legal liability, or injury or death to individuals.

Makes decisions with moderate impact - affects those in work unit; may affect other work units.

Equipment Usage:

Refers to inanimate objects such as substances, materials, machines, tools, equipment, work aids, or products. A thing is tangible and has shape, form, and other physical characteristics.

Supervises the handling of machines, tools, equipment or work aids involving extensive latitude for judgment regarding attainment of a standard or in selecting appropriate items, such as computers, peripherals, or software programs such as word processing, spreadsheets or custom applications.

Safety of Others:

Refers to the responsibility for other people's safety, either inherent in the job or to assure the safety of the general public.

Requires some responsibility for safety and health of others and/or for occasional enforcement of the standards of public safety or health.

Education and Experience Guidelines

Education:

Refers to job specific training and education that is recommended for entry into the position. Additional relevant experience may substitute for the recommended educational level on a year-for-year basis.

Bachelor's degree in business management, computer science, management information systems or a closely related field.

Experience:

Refers to the amount of related work experience that is recommended for entry into the position that would result in reasonable expectation that the person can perform the required tasks. Additional relevant education may substitute for the recommended experience on a year-for-year basis, excluding supervisory experience.

Four years of related experience.

Licenses, Certifications, and Registrations Required:

Refers to professional, state, or federal licenses, certifications, or registrations required to enter the position.

Appendix Y – Class Specification for Information Systems Analyst

Florida State Courts System
Class Specification

Class Title: Information Systems Analyst

Class Code: 4105

Pay Grade 102

General Description

The essential function of the position within the organization is to design, analyze, implement and maintain computer programs. The position is responsible for developing computer programs and performing related clerical tasks. The position works under general supervision independently developing work methods and sequences.

Examples of Work Performed

(Note: The examples of work as listed in this class specification are not necessarily descriptive of any one position in the class. The omission of specific statements does not preclude management from assigning specific duties not listed herein if such duties are a logical assignment to the position.)

Designs, analyzes, develops, implements, tests, and maintains computer programs to allow users to enter, update and delete data in Courts System databases.

Conducts research to discover new methodologies and enhancements for users of the State Courts information system; plans and develops system requirements and enhancements.

Consults with court clerks, deputy clerks, judges and other appropriate staff regarding computer application requirements to ensure efficient operations for areas of responsibility.

Ensures compliance with applicable policies, procedures, regulations and laws in the performance of technical tasks.

Adheres to information Systems Development Methodology (ISDM) and Project Management documentation requirements as adopted by ISS. Also meets ISS information technology standards when developing.

Ensures that design and implementation procedures make use of appropriate information engineering principles under the ITIL framework as adopted by ISS, including ISS production Change Management, Release Management and Service Management.

Attends staff meetings to exchange information; attends technical classes, workshops or seminars to improve technical skills. Perfect skills in the use of application and database developmental tools.

Competencies

Data Responsibility:

Refers to information, knowledge, and conceptions obtained by observation, investigation, interpretation, visualization, and mental creation. Data are intangible and include numbers, words, symbols, ideas, concepts, and oral verbalizations.

Coordinates or determines time, place, or sequence of operations or activities based on analysis of data and possibly executes determinations or reports on events.

People Responsibility:

Refers to individuals who have contact with or are influenced by the position.

Persuades or influences others in favor of a service, course of action, or point of view.

Assets Responsibility:

Refers to the responsibility for achieving economies or preventing loss within the organization.

Requires minimum responsibility for only small quantities of low cost items or supplies where opportunities for achieving economies or preventing loss are negligible.

Mathematical Requirements:

Deals with quantities, magnitudes, and forms and their relationships and attributes by the use of numbers and symbols.

Uses practical application of fractions, percentages, ratios and proportions, measurements, or logarithms; may use algebraic solutions of equations and equalities, deductive geometry, and/or descriptive statistics.

Communications Requirements:

Involves the ability to read, write, and speak.

Reads scientific and technical journals, abstracts, financial reports, and legal documents; writes complex reports; makes presentations to professional groups.

Complexity of Work:

Addresses the analysis, initiative, ingenuity, creativity, and concentration required by the position and the presence of any unusual pressures.

Performs work involving the application of logical principles and thinking to solve practical problems within or applying to a unit or division of the organization; requires continuous, close attention for accurate results and frequent exposure to unusual pressure.

Impact of Decisions:

Refers to consequences such as damage to property, loss of data or property, exposure of the organization to legal liability, or injury or death to individuals.

Makes decisions with moderate impact - affects those in work unit.

Equipment Usage:

Refers to inanimate objects such as substances, materials, machines, tools, equipment, work aids, or products. A thing is tangible and has shape, form, and other physical characteristics.

Leads or handles machines, tools, equipment or work aids involving moderate latitude for judgment regarding attainment of a standard or in selecting appropriate items, such as computer applications.

Safety of Others:

Refers to the responsibility for other people's safety, either inherent in the job or to assure the safety of the general public.

Requires some responsibility for safety and health of others and/or for occasional enforcement of the standards of public safety or health.

Education and Experience Guidelines

Education:

Refers to job specific training and education that is recommended for entry into the position. Additional relevant experience may substitute for the recommended educational level on a year-for-year basis.

Bachelor's degree in computer science, management information systems or a closely related field.

Experience:

Refers to the amount of related work experience that is recommended for entry into the position that would result in reasonable expectation that the person can perform the required tasks. Additional relevant education may substitute for the recommended experience on a year-for-year basis, excluding supervisory experience.

Two years of related experience.

Licenses, Certifications, and Registrations Required:

Refers to professional, state, or federal licenses, certifications, or registrations required to enter the position.

None

Appendix Z – Additional Bandwidth Costs

Additional Bandwidth Costs for FY 16/17 LBR

Circuit	Remote Interpreting Expansion	FY 16/17 LBR Total Upgrade Costs
1	No	
2	Yes	**$83,614**
3	Yes	**$186,646**
4	No	
5	Yes	**$82,952**
6	Yes	**$42,086**
7	Yes	**$105,324**
8	Yes	**$225,834**
9	No	
10	Yes	**$60,995**
11	No	
12	No	**$43,351**
13	Yes	**$31,472**
14	Yes	**$109,348**
15	Yes	**$11,512**
16	Yes	**$11,512**
17	No	
18	Yes	**$23,024**
19	Yes	**$123,526**
20	Yes	**$119,792**
Total		**$1,260,988**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015 - 16

Department: State Courts 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
A-13/14-04	Report issued Jan 2014	4th District Court of Appeals	Personnel files did not contain all required documentation.	New procedures implemented to ensure that all required documentation is included.	N/A
			Inadequate separation of duties related to purchasing.	A second signature is now required on all invoiced submitted for payment. In addition, a 3-date stamp is now used on receipt documents and the Marshal approves all p-card purchases.	
			Contract administration and monitoring should be improved.	All contracts are reviewed by the OSCA general counsel's office and all contracts have been uploaded into the Contract Management System.	
A-13/14-07	Report issued June 2014	Office of Court Improvement	Time from when expenditures were incurred to draw downs processed exceeded guidance for court improvement grants.	New procedures have been implemented to correct the issue.	N/A
			Travel should be conducted in the most economical means possible.	New protocols were developed to improve guidance for hotel selection, tax exemption, mileage claimed, and mode of travel.	
			No system was in place to track actual state matching funds.	A system has be implemented to better document the matching of state funds.	
			Lack of detailed reconciliation to accounting records.	Meetings were held with appropriate units to better coordinate expenditure reconciliation. In addition, personnel will receive training in FLAIR.	

Fiscal Year 2016-17 LBR Technical Review Checklist

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

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

		Program or Service (Budget Entity Codes)					
	Action	22010100	22010200	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. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**						
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					
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y					
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y					
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 29) been followed?	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.	Y					
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					

	Action	Program or Service (Budget Entity Codes)					
		22010100	22010200	22100600	22300100	22300200	22350100
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					
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					
4.2	Is the program component code and title used correct?	Y					
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					
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					
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					
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 2014-15 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.						

		Program or Service (Budget Entity Codes)					
	Action	22010100	22010200	22100600	22300100	22300200	22350100
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					
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 33 of the LBR Instructions.)	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					
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?	Y					
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?	Y					
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 through E-6 of the LBR Instructions.)	Y					
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					
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					
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y					
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y					
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 #16-002?	Y					
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					
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y					
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A					
7.14	Do the amounts reflect appropriate FSI assignments?	Y					

		Program or Service (Budget Entity Codes)					
	Action	22010100	22010200	22100600	22300100	22300200	22350100
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					
7.16	Do the issues relating to *salary and benefits* 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 90 of the LBR Instructions.)	N/A					
7.17	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y					
7.18	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	N/A					
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A					
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					
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)**	Y					
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))**	Y					
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 65 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.						

Action	Program or Service (Budget Entity Codes)					
	22010100	22010200	22100600	22300100	22300200	22350100
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).					
TIP	If a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2016-17 data center costs, this can be completed by using the new State Data Center data processing services category (210001).					
TIP	If an appropriation made in the FY 2015-16 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.					
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**;** fixed capital outlay adjustment 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 *section 215.32(2)(b), Florida Statutes* - 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 Section 215.20, Florida Statutes 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				

	Action	Program or Service (Budget Entity Codes)					
		22010100	22010200	22100600	22300100	22300200	22350100
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 general revenue 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					
8.25	Are current year September operating reversions appropriately shown in column A02?	N/A					
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	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A					
8.28	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					
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y					
AUDITS:							
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y					
8.31	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					
8.32	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					

		Program or Service (Budget Entity Codes)					
	Action	22010100	22010200	22100600	22300100	22300200	22350100
8.33	Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y					
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	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 130 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 *Base Rate Audit* on page 161 of the LBR Instructions.)	No, but justified in the narrative					
10. SCHEDULE III (PSCR, SC3)							
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 92 of the LBR Instructions.)	Y	Y	N/A	Y	Y	N/A
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 99 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y					
11. SCHEDULE IV (EADR, SC4)							
11.1	Are the correct Information Technology (IT) issue codes used?	Y					
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.	This schedule is included in the manual documents					
13. SCHEDULE VIIIB-1 (EADR, S8B1)							
13.1	**NOT REQUIRED FOR THIS YEAR**						
14. SCHEDULE VIIIB-2 (EADR, S8B2)							
14.1	Do the reductions comply with the instructions provided on pages 104 through 106 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 VIIIC (EADR, S8C) **(LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)**							
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.						

		Program or Service (Budget Entity Codes)					
	Action	22010100	22010200	22100600	22300100	22300200	22350100
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	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 2016-17 to redirect resources within the SCS for possible reprioritization.					
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 107-109 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)**						
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 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 *section 216.023(4) (b), Florida Statutes,* 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 2014-15 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1)**	Yes, however, there is a $15.4M discrepancy due to the funds received in the FY 2015-16 GAA, Section 63 for the State Courts Revenue Trust Fund revenue shortfall. This is also explained on the Schedule XI.					
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 included in the manual documents.					
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

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

17. MANUALLY PREPARED EXHIBITS & SCHEDULES		
17.1	Do exhibits and schedules comply with LBR Instructions (pages 115 through 158 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
17.4	Does the LBR include a separate IV-B for each IT project over $1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: **IT@LASPBS.state.fl.us**	N/A
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y
AUDITS - GENERAL INFORMATION		
TIP	Review *Section 6: Audits* of the LBR Instructions (pages 160-162) 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.	
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)		
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y
18.5	Are the appropriate counties identified in the narrative?	Y
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?	Y
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