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I. Executive Summary

The Article V Technology Board (hereinafter referred to as the Board) is pleased to submit this report to the Governor, President of the Senate, Speaker of the House of Representatives, and the Chief Justice of Florida. To assist the reader a glossary of terms is attached as Appendix H.

The purpose of the Board and this report is to assist the State of Florida in accomplishing the integration of disparate information systems at a level never before achieved.

The Board believes the only viable solution is to work smarter and that by incorporating the recommendations of the Board, the state of Florida can accomplish something that no other state has been able to accomplish so far. That accomplishment can be the integration of disparate systems at a level never before achieved.

The Article V Technology Board recommends the continuation of the efforts begun by the Board. The Board has successfully developed a “process of cooperation” that is changing the culture of how the state court system entities and other participants look at sharing information. Truly integrated solutions are within the reach of Florida, but in order for them to be realized, the Board must have the support of the Governor, President of the Senate, Speaker of the House of Representatives, and the Chief Justice of Florida.

A. Recommendations

1. Future Governance board

The Article V Technology Board recommends the creation of permanent State Level and Judicial Circuit Governance Boards, with adequate resources (authority, staffing, funding) to carry on the work begun by the Article V Technology Board as recommended in section II B.

2. Integration Models

The Article V Technology Board recommends that no one specific “integration model” be ordained as being better than any other and that organizations should design, develop, and

implement “integration models” that best solve their own specific business problems while accommodating the requirements of their partners in government.

3. CCIS and JIS Review by Infinity Software Development Inc.

The Article V Technology Board recommends that the Legislature consider the recommendations by Infinity Software Development Inc. Their recommendations are included in their complete report attached to this document as Appendix D.

4. Catalog of Common Data Elements

The Article V Technology Board recommends the Legislature provide the staffing and funding to continue the Catalog of Common Data Elements as a central repository of data elements to be used in the electronic exchange of information between state court system entities and other participants.

5. Data Exchange Standards and Protocol

The Article V Technology Board recommends the adoption of GJXML and LegalXML as standards to be used by all state and local organizations exchanging criminal and non-criminal information (respectively).

The Article V Technology Board recommends the adoption of the JIEM data exchange-mapping tool, or comparable mapping tool, as a standard to be used by all state and local organizations exchanging criminal and non-criminal information (respectively) that have not yet documented their data exchanges.

The Article V Technology Board recommends the Legislature provide funding to continue training and certification of state court system entities and other participants staff on the JIEM data exchange toolset developed by SEARCH.

6. Infrastructure and Network Standards and Protocol

The Article V Technology Board recommends that the following direction, policies, and standards be adopted for use by state court system entities and other participants:

Direction, Policies, and Standards for Infrastructure and Networks

A. Requirements for Integration and Interoperability

- Leverage existing IT infrastructure
- Promote improved data sharing across the state
- Easy to use and rapidly deploy
- Uses open standards built around Web services
- Has low implementation, deployment, and management costs
- Enables the delivery of statewide services
- Provides an environment that supports multi-vendor technologies
- Consider enterprise service bus technology
- Make use of existing networks and “Commercial Off The Shelf” (COTS) products

B. Personal Computers

- Adopt minimum requirements comparable to the OSCA standard

C. Networks

- Able to connect to a State sponsored network

D. Wireless Communication

- Adopt minimum requirements comparable to the OSCA standard

E. Systems Management

- Adopt minimum requirements comparable to the OSCA standard

F. Video & Videoconferencing Technology

- Adopt minimum requirements comparable to the OSCA standard

G. Integrating Disparate Systems

- Incorporate Global Justice XML

7. Security and Access Standards and Protocol

The Article V Technology Board recommends that a continuing authority with responsibility to administer the following recommended standards and policies be appointed.

Recommended Standards and Policies for:

- Authority
- Cyber Security Audits and Risk Assessments
- Authentication Policies
- Security Governance
- Statewide Oversight
- Disaster Recovery and Continuity of Operations Policies
- Machine-to-Machine Policies
- Individual Login Policies
- Data Authentication and Integrity Policies

8. Unified Statute Table

The Article V Technology Board recommends the Legislature approve and fund this initiative under the authority and duties of the Division of Statutory Revision, with the cooperation of the state court system entities and other participants, as is necessary to develop and maintain the proposed “unified statute table.”

The Article V Technology Board recommends the Legislature require that all state court system entities and other participants utilize the proposed “unified statute table” as they are funded to make changes to their systems.

The Article V Technology Board recommends the Legislature consider a policy change that would standardize the effective date of new, revised, or rescinded criminal statutes to October 1. This change will allow time for new/revised/rescinded statutes to be included in automated systems used by state court system entities and other participants.

9. Minimum Data Elements for Policy Oversight

The Article V Technology Board recommends that the Data Dictionary Work Group be allowed to continue their analysis of the four (4) remaining pieces of information necessary for the Legislature to provide policy oversight. The Board will augment the current list of forty-three (43) pieces of information, with the remaining four (4) as soon as possible.

10. Unique Personal Identifier

The Article V Technology Board recommends that a long-term strategy be developed that would include the performance of a complete business process analysis.

- The need and applicability of a UPI extends far beyond the authorities and responsibilities of the Article V Technology Board.
- The wide spread implications of a UPI may indicate a need to task an organization whose focus is broader than the criminal justice community, and may require a consortium of communities that represent the total interests of society.
- The organization selected to perform the business process analysis must have the authority to request (compel) information.
- The organization selected to perform the business process analysis must have the resources (funding, staff, and time) necessary to analyze the information thoroughly.
- The Legislature, the Supreme Court, and the elected Clerk's of Circuit Court could oversee this issue as they have the inherent authority to gather the information needed.
- Using the information gathered, the Board could then perform a complete business process analysis, given appropriate funding and staffing.

The Article V Technology Board recommends that a change in Judicial Rule be considered that would add the additional information necessary to positively identify an individual, and that the Clerks be assigned responsibility for collecting and maintaining that additional information.

B. Future Direction

The integration of disparate systems is a goal that for a variety of reasons has most often-eluded state and local government. At this time in history, achieving that goal is within the grasp of Florida. The rewards for embracing integration and the cultural change that the Board has begun are tremendous. More complete, accurate, and timely information leads directly to better decisions being made and an overall lower cost of providing and maintaining that information. The success currently being enjoyed by the Board in regards to "working smarter" is directly attributable to the spirit of cooperation among the Board members, state court system entities, and other participants.

The Board has successfully developed a “process of cooperation” that is changing the culture of how the state court system entities and other participants look at sharing information. This “process” is being used daily to address and provide solutions to “integration” problems facing the state court system entities and other participants. Historically we have developed “stovepipe” solutions, designed to solve one agency’s specific business problems. Changing this “culture” from “stovepipe” solutions to “integrated solutions” that address the problems of data sharing between state court system entities and other participants will take time, and the support of the Governor, President of the Senate, Speaker of the House of Representatives, and the Chief Justice of Florida.

Technology is now at a point in history where it is more economical to address solutions to business problems from the point of view of an integration perspective. Adopting an integration perspective will allow Florida to position itself to take advantage of the economies of scale that are currently available and yet mostly unrealized due to the technology culture that has been in place for the last three decades. It will allow governmental entities to “work smarter” instead of harder while increasing the level of services for the citizenry, and at a lower cost.

It is with the Board’s conviction that this process is successfully promoting integration between state court system entities and other participants that these recommendations are made to the Governor, President of the Senate, Speaker of the House of Representatives, and the Chief Justice of Florida.

II. Current Organization and Governance Recommendations

A. Current Organization

1. The Article V Technology Board

The Article V Technology Board was created by the 2004 Legislature (section 29.0086, F.S.)¹ and is administratively housed in the Office of Legislative Services. By statute,² the Board is composed of 10 appointed members.

Those members at the time of this report are as follows:

- 1) Charles A. Francis, Chief Judge, Chairman, Article V Technology Board
- 2) Scott McPherson, Chief Information Officer, Florida Department of Corrections
- 3) D. Howard Stitzel III, Private Attorney, Byrd & Stitzel, P.A.
- 4) John Rutherford, Sheriff of Duval County
- 5) Douglas L. Mannheimer, Private Attorney, Broad and Cassel
- 6) Brad King, State Attorney, 5th Judicial Circuit
- 7) Bob Dillinger, Public Defender, 6th Judicial Circuit
- 8) Jim Fuller, Clerk of the Court, Duval County
- 9) Cynthia Hall, Assistant County Manager, Lake County
- 10) Pat Curtis, M.I.S. Director, Leon County

The first organizational meeting of the Board occurred on August 27, 2004. The Board is charged with addressing integration issues facing the state court system entities and other participants. As of January 15, 2006, the Board has held a total of twelve (12) public meetings; in addition to the first organizational meeting held in August of 2004. Board appointed Subcommittees, Committees, and Task Force members have held a total of forty-eight (48) public meetings in support of the Board's issues and directives. A vast majority of these meetings have been initiated from the Supreme Court and broadcast as videoconferences and teleconferences across the State of Florida. The Board would sincerely like to thank the Supreme Court, Ms. Elizabeth Goodner, Mr. Michael Love, and their staff. As a result of their

¹ Appendix A, Page 13, Section 29.0086, F.S.

² Appendix A, Page 13, Section 29.0086(2)(a-j), F.S.

assistance and diligence in accommodating these meetings, Board's results are much better and more complete. Their assistance and generosity is an excellent reflection on that organization and a testament to the professionalism of their staff.

2. Subcommittees and Work Groups

In order to meet the Board's statutory responsibilities, the Chairman exercised his authority to *"establish workgroups as needed that shall be composed of representatives from their respective organizations who are knowledgeable concerning applicable business functions, related data processing requirements and information system networks and infrastructure within their respective jurisdiction."*³

The Chairman established three (3) Subcommittees staffed by Board members to address specific issues associated with the areas of interest as indicated by their titles:

- **Data Dictionary Subcommittee**
 - Douglas L. Mannheimer, Chairperson
 - D. Howard Stitzel III
 - Bob Dillinger
- **Infrastructure and Network Subcommittee**
 - Pat Curtis, Chairperson
 - Jim Fuller
 - Cynthia Hall
- **Security and Access Subcommittee**
 - Scott McPherson, Chairperson
 - Brad King
 - John Rutherford

Judge Francis established three (3) Work Groups staffed by volunteers from participating entities who were asked to appoint individuals with technical expertise to support the subcommittees established by the Chairman.

³ Appendix A, Page 16, Section 29.0086(7), F.S.

The response from participating entities has been overwhelming. A total of sixty-five (65) individuals are participating with the Board and providing technical support for the Subcommittees. Agencies that have appointed staff to support the Board include:

- The Florida Supreme Court, Office of the State Court Administrator
- The Florida Public Defender's Association
- The Florida Prosecuting Attorney's Association
- The Florida Association of Court Clerks and Comptroller, Inc.
- The Florida Association of Counties
- Division of Statutory Revision, Florida Legislature
- The Florida Department of Law Enforcement
- The Florida Department of Corrections
- The Florida Department of Highway Safety and Motor Vehicles
- The Florida Department of Management Services
- The Florida Department of Juvenile Justice
- The Florida Department of Children and Families
- The Florida Department of Revenue
- The Florida Department of Health
- The Florida Department of Education
- The Chief Financial Officer of Florida
- The Florida Sheriff's Association

3. Staff

The Board is currently supported by three (3) full time staff positions as follows:

- Staff Director
- Information Systems Project Administrator
- Staff Assistant

B. Future Governance Board

1. Issues

Chapter 29.0086, F.S. outlines the structure and the duties of the Article V Technology Board including this report (due no later than January 15, 2006) to the Governor, the President of the Senate, the Speaker of the House of Representatives, and the Chief Justice of Florida. Among other responsibilities:

“The report shall also propose an operational governance structure to achieve and maintain the necessary level of integration among system users at both the state and judicial circuit levels as provided for in this subsection.”

In compliance with 29.0086, F.S., the Article V Technology Board makes the following recommendations for a permanent operational governance structure, including staffing⁴ and FY 2006-2007 budget projections.⁵

2. Statewide Governance Board

The Article V Technology Board recommends that a permanent “Statewide Governance Board” should be established to continue the work begun by the Article V Technology Board.⁶

The Statewide Governance Board membership is comprised of eleven (11) members, appointed as follows⁷ and with initial staggered terms of (1), two (2), and three (3) years:⁸

1. State Attorney Appointee

Appointed by Florida Prosecuting Attorney’s Association, initial term one (1) year.

2. Governor Appointee

Appointed by the Governor, initial term one (1) year.

3. Senate Appointee

Appointed by the President of the Senate, initial term one (1) year.

⁴ See Appendix C, Pages 1-16

⁵ See Appendix C, Pages 17-18

⁶ See Appendix B, Motion E

⁷ See Appendix B, Motion A

⁸ See Appendix B, Motion D

4. House of Representatives Appointee
Appointed by the Speaker of the House of Representatives, initial term one (1) year.
5. Court Appointee
Appointed by Chief Justice of Florida, initial term two (2) years.
6. Clerk Appointee
Appointed by the Florida Association of Court Clerks and Comptroller, Inc., initial term two (2) years.
7. County Appointee
Appointed by Florida Association of Counties, initial term two (2) years.
8. Sheriff Appointee
Appointed by Florida Sheriff's Association, initial term two (2) years.
9. Public Defender Appointee
Appointed by Florida Public Defender's Association, initial term three (3) years.
10. Florida Bar Appointee
Appointed by Florida Bar, initial term three (3) years.
11. Criminal and Juvenile Justice Information Systems Council Appointee
Appointed by CJJIS Council, initial term three (3) years.

The Statewide Governance Board member's terms of service are:⁹

- three (3) years
- with no term limits
- initial appointees will serve staggered terms of one (1), two (2), and three (3) years.

The Chairperson

The Statewide Governance Board Chairperson is appointed by the Chief Justice of Florida.¹⁰

The Chairperson of the Statewide Governance Board has the authority to appoint Subcommittees and Work Groups as needed to support the efforts of their Board.¹¹ The Chairperson may

⁹ See Appendix B, Motion C

¹⁰ See Appendix B, Motion B

¹¹ See Appendix B, Motion F

consider recommendations to provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board.¹²

Meetings

The Statewide Governance Board shall conduct regularly scheduled Quarterly meetings. Additional meetings may be scheduled at the call of the Chairperson.¹³ The Legislature determines the rules of order under which the Board will operate (Mason's, Robert's, etc).¹⁴

Staffing

The Statewide Governance Board shall be staffed as follows: 8 staff positions, including: Staff Director, Information Systems Project Administrator, Administrative Assistant, Infrastructure and Network staff person, Catalog of Common Data Elements and Data Dictionary staff person, Security and Access staff person, Judicial Circuit Board Coordination staff person, and JIEM and GJXML staff person. The Board moved that the current Article V Technology Board staff create job descriptions for the additional staff persons.¹⁵

Responsibilities

The primary responsibility of the Statewide Judicial Circuit Governance Board is to work to ensure the integration of data across state court system entities and other participants.¹⁶

The Statewide Governance Board has the authority to set standards and policies relating to access to data, data, hardware, communication, and security.¹⁷ The Statewide Governance Board will have oversight and compliance monitoring responsibility over the local boards.¹⁸ The Statewide Governance Board shall have authority to set Information Technology Project Management and Information Technology Governance standards. Consider recommendations to

¹² See Appendix B, Motion M

¹³ See Appendix B, Motion H

¹⁴ See Appendix B, Motion S

¹⁵ See Appendix B, Motion G

¹⁶ See Appendix B, Motion N

¹⁷ See Appendix B, Motion L

¹⁸ See Appendix B, Motion P

provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board.¹⁹

Reporting Requirements

The Statewide Governance Board provides an Annual Report to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives.²⁰ The report is due annually on August 15th.²¹ The Annual Report provided to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives by the Statewide Governance Board includes:²²

- 1) A Strategic Plan, continually maintained and updated including:
 - Judicial Circuit Governance Board compliance with the strategic plan
 - Details of Judicial Circuit Governance Board monitoring efforts by the Statewide Board
 - Progress of Judicial Circuit Governance Board integration efforts
 - Obstacles to the success of the strategic plan
 - Compliance with Governance Board standards and policies relating to access to data, data, hardware, communication, and security standards²³
- 2) Fiscal Year Funding Recommendation
- 3) Expenditure reports

Funding

The State of Florida should fully fund all components of the state wide integrated court information system.²⁴

Funding Oversight – Judicial Circuit Level

Once the strategic plan standards are adopted, the State Level Governance Board should have funding oversight for all new state provided funds and those funds may not be used to “make substantial enhancements to” or “replace outdated or obsolete systems” or “purchase new

¹⁹ See Appendix B, Motion R

²⁰ See Appendix B, Motion I

²¹ See Appendix B, Motion K

²² See Appendix B, Motion J

²³ See Appendix B, Motion O

²⁴ See Appendix B, Motion FF

systems” unless those systems comply with the Governance Board policies, standards, and the strategic plan.²⁵

3. Judicial Circuit Governance Board

The Article V Technology Board recommends that a permanent “Judicial Circuit Governance Board” should be established to continue the work begun by the Article V Technology Board.²⁶

The Judicial Circuit Governance Board membership is comprised of the following representatives with these specific initial terms of office:

- Chief Judge – Initial term of 2 years
- Public Defender– Initial term of 3 years
- State Attorney– Initial term of 3 years
- Florida Bar representative, member in good standing, appointed by the Chief Judge – Initial term of 2 years
- Sheriff – Initial term of 2 years
- Clerk – Initial term of 2 years
- County representative– Initial term of 1 year

Each elected official (State Attorney, Public Defender, Chief Judge, Sheriff, and Clerk) will serve while in office, and appointed officials such as the County representative would serve while employed by the County. The terms of service are staggered 3-year terms, with no term limits.

The “Judicial Circuit Governance Board” membership for the Sheriff and Clerk’s representative is:

- To be determined by the Chairpersons of the Boards of County Commissioners from all counties in the Judicial Circuit.
- Representatives must hold the office of elected Sheriff or Clerk respectively and that they will serve three (3) year terms after the initial term of two (2) years.

²⁵ See Appendix B, Motion Q

²⁶ See Appendix B, Motion W

- There are no term limits.
- Within the multi-county circuits, only one Sheriff and one Clerk may be elected to represent that circuit. In the event that the Chairpersons of the Boards of County Commissioners from all counties in the judicial circuit cannot come to consensus regarding the Sheriff or Clerk, to represent the judicial circuit, the remaining members of the Judicial Circuit Governance Board will vote and break the tie.²⁷
- If the counties within a multi-county judicial circuit cannot make a decision regarding who the county representative to the Judicial Circuit Governance Board will be, the Article V Technology Statewide Governance Board will make the decision.²⁸

The Chairperson

The Judicial Circuit Governance Board members will elect the Chairperson of the Board.²⁹ The Judicial Circuit Governance Board Chairperson's term of service will be two years.³⁰ The Judicial Circuit Governance Board will elect a Vice Chairperson.³¹ Whoever serves as the chairperson at the circuit level will be responsible for noticing requirements, recording minutes, and other necessary tasks at the judicial circuit meetings.³²

The Chairpersons of the 20 Judicial Circuit Governance Boards have the authority to appoint Subcommittees and Work Groups as needed to support the efforts of their respective Boards.³³

Meetings

The Judicial Circuit Governance Board will meet quarterly and not less than quarterly or at the call of the chairperson.³⁴ The Legislature determines the rules of order under which the Board will operate (Mason's, Robert's, etc).³⁵

²⁷ See Appendix B, Motion S

²⁸ See Appendix B, Motion T

²⁹ See Appendix B, Motion S

³⁰ See Appendix B, Motion U

³¹ See Appendix B, Motion V

³² See Appendix B, Motion AA

³³ See Appendix B, Motion Y

³⁴ See Appendix B, Motion BB

³⁵ See Appendix B, Motion S

Proxy votes are not allowed for members of the Judicial Circuit Governance Board.³⁶ The Judicial Circuit Governance Board membership has the individual authority to designate an alternate to serve in their place as long as that alternate is appointed to serve the full term of the member designating that alternate.³⁷

Staffing

The Judicial Circuit Governance Board staffing is at the local level, if needed, employed at the discretion of the local board and funded through the local funding mechanism.³⁸

Responsibilities

The primary responsibility of the Judicial Circuit Governance Board is to work to ensure the integration of data across state court system entities and other participants.³⁹ The Judicial Circuit Governance Board will have the same responsibilities as the Statewide Governance Board. Any policies and standards that the Judicial Governance Board sets shall be approved by the Statewide Governance Board.⁴⁰

Reporting Requirements

The Judicial Circuit Governance Board will report directly to the Statewide Governance Board.⁴¹

Funding

The \$2 recording fee currently administered at the county level will be administered on a judicial circuit level by a joint committee comprised of the State Attorney, Public Defender and Chief Judge. Meetings are governed by Chapter 119, F.S. The intent of this motion is to provide direction as to the administration of the \$2 fee and is not meant to imply that the Counties will not be able to use the \$2 fee for their statutory obligations.⁴²

³⁶ See Appendix B, Motion S

³⁷ See Appendix B, Motion X

³⁸ See Appendix B, Motion Z

³⁹ See Appendix B, Motion DD

⁴⁰ See Appendix B, Motion EE

⁴¹ See Appendix B, Motion EE

⁴² See Appendix B, Motion CC

The Article V Technology Board recommends the creation of permanent State Level and Judicial Circuit Governance Boards, with adequate resources (authority, staffing, funding) to carry on the work begun by the Article V Technology Board as recommended in section II B.

III. ISSUES AND SOLUTIONS

A. Integration Models

1. Issues

Chapter 29.0086, F.S. outlines the structure and the duties of the Article V Technology Board including this report. Among other responsibilities, Section 5 (c) states:

“Based upon the review and consideration of the January 15, 2005 report by the Legislature, and not later than January 15, 2006, provide a report to the Governor, the President of the Senate, the Speaker of the House of Representatives, and the Chief Justice of the Supreme Court that proposes alternative integration models and analyzes associated advantages and disadvantages of each model. To the extent possible, standards, protocols, and processes that integrate disparate network systems using open standards, and data warehouse and middleware connectivity strategies that maintain and leverage existing networks and information systems should be considered in the report.”

In the past, automated systems were often proprietary from either a software or hardware perspective, or sometimes both. These automated systems or “integration models” had specific requirements that forced organizations to pick one particular “model” over another in order to share information with other automated systems. Automated systems implemented to comply with these restrictions were frequently more costly and quite often, they were not the best solution to the problems the organization was trying to address.

The state of the art in automated systems and integration has progressed to a point where these restrictions (of the past) have been overcome. Today, it is neither desirable nor necessary to choose one integration model over another. There is no “one size fits most” cure all or perfect solution, and vendors have no intention of trying to develop one. Organizational dynamics, direction, and resource constraints dictate a different approach, an accommodative approach.

2. Findings

Search any dictionary or encyclopedia for “*integration*” and you will not find a definition that fits the environment or activities the Board is recommending or the results that government in Florida expects.

Simply put, *integration is the sharing of information* with a minimum of human intervention. Integration or sharing information improves the quality and timeliness of the information, and thereby the quality of decisions that can be made using that information. It also implies that a great deal of expense can be avoided by reducing or eliminating error prone and redundant data entry if the integrated systems are designed appropriately.

Integration models of all types exist throughout Florida, and at all levels of government. From the single, point to point exchange between applications that operate on the same computer to the most complicated information exchanges that operates on a multitude of computers, at many locations, and that involve every combination of communications technology. Integration models can describe a “Legacy” system developed twenty-five (25) years ago or the latest and greatest “metadata mining” tool or “data warehouse” currently available.

From an information sharing perspective, it doesn’t matter what type of “integration model” is being used, or where. As organizations design systems, they don’t need to be concerned about the type of “integration model.” What they should focus on is designing and building a system that best solves their business problem, not using one particular “integration model” simply because someone says it is the best one. Technology changes daily, the best “integration model” of today will surely be “an antique” tomorrow.

The Board has no desire or intention of promoting one “integration model” over another; it simply isn’t appropriate or necessary from an integration perspective. The Board’s adoption of GJXML and LegalXML transitions all concerns over the types of systems or “integration models” being used as these XML standards accommodate communication between any systems or “integration models.” These standards effectively negate compatibility requirements that have been a major impediment to data sharing in the past.

3. Recommendations

The Article V Technology Board recommends that no one specific “integration model” be ordained as being better than any other and that organizations should design, develop, and implement “integration models” that best solve their own specific business problems while accommodating the requirements of their partners in government.

B. JIS and CCIS Review by Infinity Software Development Inc.

Issues

The purpose of this review was to provide an analysis of the Judicial Inquiry System (JIS) developed by the Office of the State Courts Administrator within the Supreme Court and the Comprehensive Case Information System (CCIS) developed by the Florida Association of Court Clerks and Comptroller, Inc. The review of these systems or “integration models” was specifically called for in accordance with Section 29.0086(5)(c)(1), Florida Statutes. Infinity Software Development, Inc., (Infinity) was selected to provide the review of these two (2) systems, has analyzed, and described the specific policies, functionality, operations, fiscal means, and technical guidelines of each system. Recommendations by Infinity include best practices for any future development efforts that include either or both of these types of systems. The Infinity Report is found in Appendix D of this report.

C. Catalog of Common Data Elements

1. Issues

Section 29.0086, F.S. charges the Board with identification of *“the minimum data elements and functional requirements needed by each of the state court system entities to conduct business transactions, and needed by the Legislature to maintain policy oversight”*.

2. Findings

The Board expanded this basic requirement for identifying the “minimum data elements” to include the development of a comprehensive, searchable database of common data elements that is referred to as the Catalog of Common Data Elements (CCDE). The Board chose the development of a searchable database (CCDE) approach rather than a “common data dictionary” approach for several reasons. First, the CCDE provides a more complete list of available data elements while the development of a “common data dictionary” would identify only a limited number of data elements currently in use among the state court system entities and other participants. In addition, by developing the CCDE in a web enabled environment, access to search the database as a public records document can be accomplished while ensuring that additions, changes, and deletions to the database can be secured and limited to the “owners” of those specific data elements.

Second, the development of a “common data dictionary” implies a strict, narrowly defined, and potentially restrictive definition of each data element (i.e. describing an element within a platform or language-specific frame of reference). Throughout its process, the Board has stressed an “accommodative approach” rather than promoting data sharing through forced commonality that would limit access.

Third, the development of a “common data dictionary” implies that all state court system entities and other participants would be required to implement the dictionary into their existing automated systems, incurring additional (and unplanned) costs in the process. Implementing a “common data dictionary” system wide could easily exceed a hundred million dollars

considering there are in excess of 1,000 disparate systems that would be have to be altered programmatically without adding any value to those systems.

Under the Board's direction, the framework for the CCDE was established beginning with a list of attributes to be collected for each data element (i.e. element name, element length, editing criteria, etc.) from the following organizations data dictionaries:

- Office of the State Court Administrator
- Florida Department of Law Enforcement
- Florida Department of Juvenile Justice
- Florida Association of Court Clerks and Comptroller Inc.

In continuing the Board's effort to include data elements from pertinent organizations, data dictionaries from the Florida Department of Corrections and the Florida Department of Revenue have been received and will be incorporated into the next group of data elements added to the CCDE.

A standard format for capturing, representing and printing data element information has been adopted and an initial architecture and software platform for storing and retrieving the data has been selected (a single user, secure application written in Microsoft Access). Over the past twelve (12) months, the CCDE has been designed, built and populated with over twenty five hundred (2,500) data elements from the current (four) contributing organizations. Staff is currently in the process of extending the CCDE's functionality by reengineering it as a secure, web-based application. Authorized users will be able to add, modify, or delete data elements belonging to their own agency, while also being able to search, view, and report on data elements belonging to other contributors.

Modifications are being made to the CCDE to allow storage of Global Justice Extensible Markup Language (GJXML) and Oasis Legal XML (LegalXML) tags associated with each data element. This modification is being made to facilitate the Board's recommendation that state court system entities and other participants adopt and implement GJXML and LegalXML protocols as standards for interagency data exchange. The Board considers adoption of GJXML and

LegalXML as a standard to be the most accommodative approach and a key to promoting system wide integration, data sharing, and data exchange.

CCDE's combination of an inclusive, extensible and readily available repository of data elements, in conjunction with an industry standard technology for representing and exchanging data, creates a unique and highly effective tool for promoting data sharing and data exchange among the state court system entities and other participants.

3. Recommendations

The Article V Technology Board recommends the Legislature provide the staffing and funding to continue the Catalog of Common Data Elements as a central repository of data elements to be used in the electronic exchange of information between the state court system entities and other participants.

D. Data Exchange Standards and Protocols

1. Issues

There is no one “application or system” capable of providing a solution to the problem of sharing information between the multitude of disparate databases in use by the state court system entities and other participants. All of the current applications in use by the state court system entities and other participants are in a constant state of change as organizations provide improved services to citizens as well as improving the timeliness and efficiency of those services. Trying to improve the way these organizations exchange information (system to system) requires a completely different approach than is currently being used.

2. Findings

A relatively new and very accommodative method of improving the way organizations exchange information electronically is through the use of an eXtensible Markup Language (XML data transport standard and protocol). This XML methodology is currently available and is a proven technique that will accommodate the variety of requirements needed by our state court system entities and other participants.

3. Recommendations

Policy Changes, Functional Changes, and Operational Changes

Each of the state court system entities and several participants spoke on behalf of Global Justice Extensible Markup Language (GJXML) for criminal cases, and LegalXML for non-criminal cases during the May, 20, 2005 Board meeting, stating that their organization was prepared to adopt these justice specific XML standards with the Board’s endorsement. The Board in turn adopted the following motion:

The Article V Technology Board adopts Global Justice Extensible Markup Language, or GJXML, as the standard for exchange of information between State Court Entities and between State Court Entities and other entities which may elect, be encouraged or required to participate in Court information sharing in the future.

Further, the Board adopts the Global Justice Extensible Data Model or GJXDM, as the nucleus of Florida’s justice data element catalog for criminal data elements, and Oasis LegalXML for all other data elements.

These standards are to be incorporated into new database management systems and older systems should have the capability of interfacing with other systems via the use of “middleware” solutions, third party clearinghouses, and/or the deployment of Web Services.

These recommendations should not be interpreted as a mandated change to any governmental entity’s information technology system without an appropriate funding source identified. These standards are subject to review and modification as circumstances warrant.

The Article V Technology Board recommends the adoption of GJXML and LegalXML as standards to be used by all state and local organizations exchanging criminal and non-criminal information (respectively).

Prior to any implementation of these XML standards and protocols, it will be necessary for organizations to completely document their electronic data exchanges. This documentation will provide a roadmap that will help ensure the continuity of operations across the state court system entities and other participants. Many organizations have not documented their electronic data exchanges as thoroughly as required to be successful implementing XML. Therefore, it is necessary that we provide a “tool” to assist these organizations with that documentation task. The tool that has been selected by the Board was developed by SEARCH⁴³ with public funds, and is available along with training and certification at no cost. The tool is referred to as the Justice Information Exchange Model (JIEM). On May 20, 2005, the Board in turn adopted the following motion:

The Article V Technology Board recognizes the need for all State Court System entities to identify the specific requirements of state court system entities regarding their exchange of electronic information with other entities.

In order to recommend an appropriate integration model or solution to the Legislature, all State Court System entities must furnish the following information to the Board no later than July 15, 2005:

A map of your current data exchange processes with details for each process:

- *The “event” and “conditions” that trigger this information exchange.*
- *The Data Elements that are currently exchanged, including the documents or transactions that currently transport those data elements.*

⁴³ SEARCH, The National Consortium for Justice Information and Statistics, primarily funded by the U.S. Department of Justice , Bureau of Justice Assistance (BJA) and Office of Justice Programs (OJP).

- *The entities involved in the data exchange (sending and receiving)*
- *The frequency of this data exchange*

For any State Court System entity that cannot furnish this information by July 15, 2005, the Article V Technology Board requires a “project plan” from that entity that details when this information can be furnished to the Article V Technology Board, and highly recommends that those entity(ies) consider the use of the JIEM tool developed by SEARCH.

The Article V Technology Board recommends the adoption of the JIEM data exchange mapping tool as a standard to be used by all state and local organizations exchanging criminal and non-criminal information (respectively) that have not yet documented their data exchanges.

Once baseline information is gathered for these organizations through the use of the JIEM toolset, gap analysis comparisons can be performed, allowing organizations to identify any deviations from the standards (as adopted by the Board) and potential opportunities for improvement. This information will provide Judicial Circuit Level Governance decision makers with the information necessary to accurately prioritize and plan their implementation efforts and assess their resource requirements.

Opportunities to Accelerate Recommended Changes

As approved by motion of the Board, several state court system entities and other participants requested training and certification that is available through SEARCH on the JIEM tool in order to prepare for implementation of GJXML and LegalXML in their organizations. Although SEARCH provides tuition free training on the JIEM tool, normally, students must travel to Sacramento, CA for this training at the expense of their respective government entity.

The Board facilitated the JIEM training and certification in Orlando, Florida for thirty nine (39) state court system entities and other participants students coming from various geographic locations within Florida. The Board paid the expenses for two (2) trainers from SEARCH to travel from Sacramento, California to Orlando, Florida and conduct the JIEM classes here. SEARCH provided the trainers, with no charge for their time or materials. Travel expense savings for this initial group of students has been estimated in excess of \$15,000.00.

JIEM data modeling toolset training was held on November 29-30, 2005 at the Orange County, Florida Fire and Rescue Emergency Operations Center in Winter Haven, Florida. This facility was offered and selected due to its installed hardware and software infrastructure and its geographic location near the center of the state. The organizations that participated are as follows:

JIEM Training Class Attendees - November 29-30, 2005

<u>Agency</u>	<u>Attendees</u>
5th Judicial Circuit Court	1
8th Judicial Circuit Court	1
17th Judicial Circuit Court	3
Miami-Dade County Clerk	2
Florida Department of Juvenile Justice	1
Florida Department of Highway Safety and Motor Vehicles	3
State Attorney's Office - 4th Circuit	1
State Attorney's Office - 5th Circuit	1
State Attorney's Office - 8th Circuit	1
State Attorney's Office - 10th Circuit	1
State Attorney's Office - 11th Circuit	2
State Attorney's Office - 13th Circuit	2
State Attorney's Office - 15th Circuit	1
State Attorney's Office - 17th Circuit	1
State Attorney's Office - 18th Circuit	2
State Attorney's Office - 20th Circuit	2
Leon County IT	3
Volusia County IT	1
Duval County IT	1
Orange County Criminal Justice Information Systems project	1
Pinellas County	2
Jacksonville Sheriff's Office	2
Orange County Sheriff's Office	1
Computer Information Planning	2
Article V Technology Board staff	1
Total Attendees	39

Based on feedback from students after completing the JIEM training and certification, the overall training experience is considered a success. Attendees found the knowledge gained to be considerable, the training easy to follow, and asked the Board to facilitate advanced training once

they have gained hands-on experience with the product. The Board has developed an excellent relationship with the Orange County Florida Fire and Rescue Emergency Center management team who have offered to host any further training classes. The Board appreciates this cooperation and tenders a sincere thanks to the Orange County Florida Fire and Rescue Emergency Center management team for their accommodation.

The Article V Technology Board recommends the Legislature provide funding to continue training and certification of state court system entities and other participants staff on the JIEM data exchange toolset developed by SEARCH.

E. Infrastructure and Network Standards and Protocols

1. Issues

1. Issue

Section 29.0086, F.S. charges the Board with:

- *“identification of information standards and protocols for data integration, to include common identifiers, common data field elements, and a common data dictionary”*
- *“recommending policy, functional, and operations changes need to achieve necessary access to data”*
- *To the extent possible, standards, protocols, and processes that integrate disparate network systems using open standards, and data warehouse and middleware connectivity strategies that maintain and leverage existing networks and information systems should be considered in the report.*

2. Findings

The Board began an extensive fact finding exercise to identify the types and configurations of computer systems and networks as well as the infrastructure standards used by state court system entities and other participants.

a) OSCA’s Trial Courts Need Assessment Project’s Integration and Interoperability Document

Of particular interest to the Board were the standards outlined in the “Integration and Interoperability Document” published as part of the Office of State Court Administrator’s (OSCA) Trial Courts Needs Assessment Project. It should be noted that while these standards represent a significant step towards standardization among the state court system itself, their relevance goes far beyond the court. The Florida Association of Court Clerks and Comptroller, Inc. have also adopted the OSCA standard for implementation among its membership. The electronic exchange of information between state court system entities and other participants is greatly enhanced by virtue of this exceptional cooperation.

The Board believes that the OSCA standards are too narrow and “court-centric” for use as an over-arching standard for all state court system entities and other participants and that efforts should be made to develop high level, general standards for infrastructure and networks. The Board is recommending that an on-going governance structure at the statewide and judicial circuit level be established, with each judicial circuit identifying and prioritizing goals and objectives for their respective judicial circuit. In concert with that governance recommendation, the Board believes it would be more appropriate to develop broader, general standards after the judicial circuit governance boards are established.

The use of a single statewide communications network by all state court system entities and other participants was also investigated. Analysis of responses to infrastructure surveys conducted by the Board indicate that respondents already have existing network infrastructures and connectivity that are adequate to support data sharing and do (or can) get access to state sponsored networks. It should be noted that many of the survey respondents already take advantage of the State’s RTS (Routed Transport Service) or Frame Relay contract. While a laudable goal, analysis also indicated that mandating the use of a single statewide network would in fact increase the overall cost of telecommunications services among the state court system entities and other participants and seriously complicate the provision of email, file services and local information processing among them and other non-court related functions in local government. As a means of realizing the benefits of standardization, the Board developed the following statement for adoption by the Board: *“Each participant that is exchanging information is responsible for ensuring their systems can communicate to a State sponsored network or networks.”*

Adoption of this general standard allows local solutions to be used and/or augmented by simply connecting to the State sponsored network(s).

b) Review of FPAA’s Proposed Article V Technology Board Infrastructure and Network Standards

Standards proposed by the Florida Prosecuting Attorney Association’s (FPAA) regarding public addresses, a middleware hub, and connections are still under consideration for inclusion in the proposed general standards.

As has been brought to the Board's attention that the Public Defenders have very limited access to some state networks. Access to criminal justice information for the Public Defenders is extremely limited when compared to other state court system entities (courts, clerks, and state attorney).

In December 1995, then Commissioner James T. Moore waived the public record fee for public defenders obtaining criminal history records. Public Defenders were notified of this fee waiver, which is still in effect today.

Currently, Public Defenders can obtain criminal history records in three different ways, all at no cost.

- The first method is that they can submit criminal history requests over the FDLE modem system that provides responses in one or two working days.
- The second method is that they can access criminal history records through the public record internet site at www.fdle.state.fl.us.
- The third method is that they can access the records through the implementation of the Office of the State Courts Administrator's Justice Information System (JIS).

In March 2005, Pinellas and Pasco County were connected and now have access via this system. Per Section 943.053 (6), F.S., if a Public Defender opts to access information directly from FCIC, he or she is responsible for paying the line costs.

c) Web Services and XML, Enterprise Service Bus technology (ESB), and Service Oriented Architecture (SOA)

Many successful integration solutions in place use internet access or direct database connections. These solutions require fixed networking and infrastructure as supported by current technology. Newer integration solutions using web services, Service Oriented Architecture (SOA), and Enterprise Service Bus (ESB) are able to leverage existing networks and internet access through internet-based infrastructure with the use of middleware and bus technology. A potential solution is a justice gateway or bus that could be used to integrate the twenty judicial circuits. Such bus technology allows for disparate solutions within the

judicial circuits and uses XML (extensible markup language) and web services for the integration.

Based on Board action to date, the use of GJXML (Global Justice XML) and the JIEM (Justice Information Exchange Model) toolset will require extensive training for XML deployment. However, once databases are XML-ready, the ease for integration increases. The FACC's CCIS system has been modified to be Global Justice XML compliant.

d) State Court System Entities and other Participants Survey

A survey instrument was developed and distributed on July 8, 2005 to 261 state court system entities and participants to include every Clerk, Sheriff, and Board of County Commissioners in all of the sixty seven (67) counties, and every Public Defender, State Attorney, and Court Technology Officer in all of the twenty court judicial circuits. The overall return rate was 49.81% with 130 responses received. Specific response rates by state court system entity and other participants are:

80% - State Attorneys

80% - Public Defenders

72% - Clerks of the Courts

30% - Sheriffs

15% - Boards of County Commissioners

100% - Court Technology Offices (Use of Previous Inventory)

3. Conclusions

a. Survey Results

The analysis of the survey responses from the state court system entities and other participants throughout the State found that network connectivity was in place at the local level.

- In some cases, strong connections between entities were lacking or, at best, were minimal.
- Applications for integrated data sharing were minimal.

- Other application solutions were more aligned to specific entities and did not necessarily link to each other.
- Most data sharing was by file transfers or report generation.
- Some comprehensive integrated data exchanges were happening between systems.
 - Largely in the single County judicial circuits.
 - And in strong Counties within multi-county judicial circuits such as Volusia County, Leon County, and Orange County.

Other findings related to infrastructure and networks are:

- All respondents have internet access, with few requiring upgrades for higher capacity.
- Many networks support Gigabit backbones and 100mb to desktops, but many others would need to upgrade to that capacity.
- Many networks have T1 or high-speed connections.
- Many of the respondents with less than T1 connections have plans or are in the process of implementing faster connections.
- Use of existing networks can be accommodated with virtual local area networks (VLANs) to isolate local communication traffic.
- All respondents have employed firewalls and security functions to protect their networks.
- Majority of respondents have desktops that are beyond the OSCA's minimum requirement.
- There are a variety of network implementations
 - County LANs and WANs
 - Justice WANs
 - Direct fiber links between offices
- Generally, respondents are satisfied with network implementation and support
- Those not satisfied are working on new solutions (i.e. 1st Judicial Circuit installing their own judicial circuit network).

- Very few judicial circuits have web services infrastructure in place. This will be a cost factor to train staff, develop applications, and install appropriate hardware/software.
- Many organizations using traditional computing solutions with client/server applications and/or mainframe environments.
- No organizations have adopted web services with service-oriented architecture (SOA) computing. This will be a large undertaking to convert and/or migrate to web services environments for data integration.
- Development of a justice portal or “hub” will be needed to integrate the 20 judicial circuits.
- Infrastructure for common authentication, access control, and entitlements will need to be established. Very little exists, if at all, at an enterprise state level.

b) Challenges with Standards Compliance

There are many impediments to sharing data between state court system entities and other participants. Most of these impediments are maintained by individuals and are not related to hardware, software, or network restrictions. The Board has found that state court system entities and other participants that will not agree to work together is the most common impediment to integration and progress. For reasons of “security” or the feeling that data is too valuable to be shared freely, or too proprietary to be seen by others is the general response given for not cooperating in this regard. Secondly, is the issue of knowing WHO has the data, and more importantly, if the data they have is accurate enough for our needs?

The use of Global Justice XML, web services, and new middleware technologies would require the development of expertise, strong business analysis of justice processes, and the need to streamline business processes. Most of the state court system entities and other participants are poised for the next evolution of information management at a technical level and are willing to begin the cooperation/collaboration efforts, assuming appropriate resources are provided.

The Board believes that the cost to implement new integration and data sharing methodologies in the state court system entities and other participants will initially require more funding than the state court system entities and other participants currently receive. The Board also believes that the initial funding required to implement integration solutions across the state court system entities and other participants will be offset by savings in the long run. That with an integration “culture” in place that the overall costs associated with technology for state court system entities and other participants will be less than it would be if the current (and historical) practice of funding “stovepipe” projects continues.

4. Recommendations

The Article V Technology Board recommends that the following direction, policies, and standards be adopted for use by state court system entities and other participants:

Direction, Policies, and Standards for Infrastructure and Networks

A. Requirements for Integration and Interoperability

- **Leverage existing IT infrastructure**
- **Promote improved data sharing across the state**
- **Easy to use and rapidly deploy**
- **Uses open standards built around Web services**
- **Has low implementation, deployment, and management costs**
- **Enables the delivery of statewide services**
- **Provides an environment that supports multi-vendor technologies**
- **Consider enterprise service bus technology**
- **Make use of existing networks and “Commercial Off The Shelf” (COTS) products**

B. Personal Computers

- **Adopt minimum requirements comparable to the OSCA standard**

C. Networks

- **Able to connect to a State sponsored network**

D. Wireless Communication

- **Adopt minimum requirements comparable to the OSCA standard**

E. Systems Management

- Adopt minimum requirements comparable to the OSCA standard

F. Video & Videoconferencing Technology

- Adopt minimum requirements comparable to the OSCA standard

G. Integrating Disparate Systems

- Incorporate Global Justice XML

F. Security and Access Standards and Protocols

1. Issues

Chapter 29.0086, F.S. outlines the structure and the duties of the Article V Technology Board including this report. Among other responsibilities, Ch. 29.0086(5)(b)(2), F.S., states that the Board shall:

“Identify the security and access requirements needed to enable and maintain data integration.”

Ch. 29.0086(5)(c), F.S. states that the Board shall:

“To the extent possible, standards, protocols, and processes that integrate disparate network systems using open standards, and data warehouse and middleware connectivity strategies that maintain and leverage existing networks and information systems should be considered in the report.”

Ch. 29.0086(5)(c)(2), F.S. states that the Board shall:

“Propose a system for maintaining security to prevent unauthorized access to applications or data.”

Disparate systems currently in use by state court system entities and other participants number well over a thousand. Each organization and agency is responsible for the overall security of their respective systems and with the responsibility of insuring that only individuals with proper authorization have access to their information. Across these organizations and agencies, there are many variations in security and access standards, protocols, and systems. With integration as the driving force for the Board’s efforts, security and access in a newly empowered and integrated environment becomes even more important.

Much of the data held and shared by state court system entities and other participants is public record, but security is required to ensure that records are not deleted or altered by unauthorized persons. Each of the state court system entities and other participants holding and sharing data are in the best position to understand and apply the access controls that apply to its own systems

and data. State court system entities and other participants are responsible for administering the security and access control required for their applications or data. Security standards at those state court system entities and other participants must be in accordance with those established by the National Institute for Standards and Technology (NIST) and International Organization for Standardization (ISO), federal laws, applicable state laws, rules, and administrative orders issued by the Supreme Court of Florida. Non-compliance is subject to immediate remediation, and state court system entities or other participants may refuse access to a user, agency, or system that fails to comply with the minimum security standards established.

2. Findings

The Board is in agreement that the basic tenets of Security and Access for state court system entities and other participants should be:

- The concept of trust is the overriding requirement among participants in the justice process.
- Each agency or entity within the realm of Article V is responsible for establishing the security and access requirements for its data or applications, in compliance with state and federal law.
- Effective information sharing requires that all participating entities, whether state or local, must agree to operate within a minimum set of information security rules, policies, and standards.
- The Criminal and Juvenile Justice Information Systems (CJJIS) Council retains authority as set forth in Section 943.08, F.S.

At the state governance level, resources will be needed to implement the Board's recommendations for Security and Access standards and policies. Access to a security officer and staff to research security technologies and practices and provide recommendations and technical assistance will be necessary. This function may be outsourced. Third-party agreements for cyber-security audits and risk assessments will be necessary to identify those that have agreed to compliance. In order to assure all state court system entities and other participants that the information they are sharing with all other participants is secure, they all

must agree to operate within a minimum set of information security rules, policies, and standards.

At the judicial circuit level, potential resources will be needed, all at the option of the local circuit boards, including:

- Funds and staff to implement security and to enhance data sharing abilities.
- Judicial Circuit level Article V Resource Center.
- Security staff to enforce policies and provide technical assistance (this may be outsourced).
- Funds to remediate in response to audits and risk assessments.
- XML (Extensible Markup Language) and Catalog of Common Data Elements (CCDE) staff expertise and consulting services.

3. Recommendations

The Article V Technology Board recommends that a continuing authority with responsibility to administer the following recommended standards and policies be appointed.

Authority

The Board believes the Statewide Governance Board should set minimum security and access standards and policies for state court system entities and other participants and that the Board should have the authority to approve and enforce standards for state court system entities and other participants, regarding:

- Machine-to-machine (server to server, entity to entity)
- Individual logins of other entities' systems
- Validation of data
- Data-level security

The Board also believes that third-party security audits and risk assessments must be mandatory with cost recovery issues itemized in the annual strategic plan developed by the Judicial Circuit Governance Board.

The Statewide Governance Board shall be responsible for continuing research and developing recommendations for minimum standards and policies; regarding such items as anti-virus and anti-spyware software, Internet use, firewall configuration, user authentication, screen savers, intrusion monitoring and detection, remote access. The Statewide Governance Board shall also be responsible for updating these recommendations as technologies and policies advance.

Cyber Security Audits and Risk Assessments

Each participating entity should submit to a third-party cyber-security audit every three years. State agencies are required to engage in a comprehensive risk assessment (Chapter 282.318, F.S.). The audits and risk assessments shall be administered by the Statewide Governance Board or by the applicable state agency. Third-party assessments shall be conducted only by companies approved by state government. Self-assessments in the “out years” will be conducted at least annually, with results reported by the courts to the statewide board. All assessments shall include a risk assessment to determine the ability of the entity to withstand natural and man-made threats, and, as necessary, include a risk mitigation plan.

Authentication Policies

The Statewide Governance Board shall recommend user authentication strategies, which shall be updated regularly, to meet the needs of the state court system entities and other participants, and shall update these recommendations regularly. The need for strong user authentication will vary according to the agency, system, or data being accessed. Each agency will determine the level of user authentication required to access its data or applications. For a “single sign-on”, the highest level of user authentication required for any single system being accessed will be required.

Security Governance

The CJJIS Council retains authority as set forth in Section 943.08, F.S. The Statewide Governance Board will handle all other security disputes, even those within judicial circuit frameworks.

Security is essential for trust and cannot be compromised for the sake of convenience.

The Statewide Board will also mediate disputes and requests for additional data fields outside of the original Catalog of Common Data Elements (CCDE) should there be a question about the value or need for such data.

Statewide Oversight

The Auditor General's Office, Office of Program Policy and Government Analysis (OPPAGA), and the Technology Review Workgroup (TRW) will all be entitled to review and evaluate the operation of any agency or entity that receives state funding. The state courts will have oversight capabilities based on Florida law, court rules, and administrative orders. The CJJIS Council retains authority as set forth in Section 943.08, F.S.

Disaster Recovery and Continuity of Operations Policies

Each state court system entity and other participants shall have a continuity of operations plan (COOP), to include an IT disaster recovery plan (DRP), on file with the appropriate governmental entity. Counties should file such plans with their county emergency management entity. State agencies shall have a DRP and COOP on file with the Division of Emergency Management (Chapter 252, F.S.). The Statewide Governance Board shall have the authority to review COOP plans upon request.

Policies – Machine-to-Machine

In the Article V Technology Board's recommended governance model, each judicial circuit is its own governance board with its own set of stakeholders (see previously passed motions on judicial circuit governance). Recognizing that existing systems are in place, the judicial circuit governance structure will facilitate ongoing and additional data sharing between state court system entities and other participants. User level security within the respective agencies will be the responsibility of the host agency, in accordance with established standards.

Policies – Individual Logins

Logins shall contain appropriate levels of user authentication, as determined by the owner of the application or data being accessed. "Single Sign-On" for CJNET (FDLE's statewide criminal justice Intranet) applications in conjunction with the FDLE and the Federal Bureau of

Investigations (FBI) standards would be the goal. Authentication may require the use of an external device, encryption, certificate, or all of the above to enable single sign-on. Any person who requests access to an application (not running on their own network) must comply with the data owner's rules and policies and must be identifiable to the level of the individual user. There may be cost recovery issues involved that must be addressed beforehand.

Policies – Data Authentication and Integrity

Through data-level security and XML (Extensible Markup Language) standards, users of other entities' data will have confidence that data is/are secure and trustworthy. They will have confidence that the data returned is the data being requested. Any anomaly should be reported to the owner of the data/application immediately so that data or programming can be corrected.

G. Unified Statute Table

1. Issues

Florida Criminal Information Center (FCIC) and National Criminal Information Center (NCIC) criminal history records are one of the “first lines of defense” for law enforcement officers in the field. The criminal history information available to officers from FCIC and NCIC is paramount to officer safety and alerts prosecutors and judges to any potential dangers an individual may pose to the public in the event they were released from custody. Due to restrictions in the current automated systems and business processes, these criminal history records are not as complete as these organizations would like. Although these proprietary statute tables are updated periodically, the method and manner by which the statutes are cited are inconsistent with the official Florida Statutes published by the Florida Legislature’s Division of Statutory Revision.

Florida Statutes are used to administer justice and classify the offenses an individual has been charged with in the judicial process. The “charging” information and subsequent court case “disposition” information are received by the Florida Department of Law Enforcement (FDLE) to populate the FCIC state criminal history database. NCIC in turn receives their information from FCIC to populate its national criminal history database therefore, neither the FCIC nor NCIC system has all of the information needed by law enforcement, prosecutors, or judges.

A major impediment in providing a more complete criminal history on an individual is the lack of a comprehensive, standardized database of Florida Statutes. Out of necessity, each State Attorney has developed and is using a proprietary “table of charges” developed for their own automated systems. The case filing information (including all of the charges) sent between the State Attorney and the Clerk can’t always be accommodated by the Clerk’s system. When this situation occurs, the Clerk can only provide FDLE with the criminal case information they maintain, which is often incomplete and always dependent on the information sent between the State Attorney and the Clerk. When dispositions are rendered by the court, whether by adjudication or plea bargain, the charging information often does not match the original charges and statutory references.

2. Findings

Local law enforcement agencies, state attorneys, public defenders, and clerks of court use various statute tables in their manual and automated systems as they process an individual through the criminal justice system. At each step in the process, information related to the violation being cited is submitted to various state court system entities and other participants including the elected Clerk, State Attorney, Office of the State Courts Administrator, Florida Department of Law Enforcement, Department of Juvenile Justice, and the Department of Corrections (DOC) in order to update their automated record management systems.

The most important problem is that a one-to-one relationship between the criminal incident and a single Florida Statute number being used to represent that violation does not exist. When charges are being prepared, a single (base) statute may be modified by citing one or more additional statutes (modifiers) that more accurately define the actual criminal incident. For example, a robbery may occur where the individual used both a firearm and a mask. In addition to the base statute (robbery), other modifying statutes should be referenced that indicated the use of a mask, and the use of a firearm. The two additional statutes (modifiers) increase the severity of the original citation (robbery), and thus all three statutes must be taken together to accurately report the criminal incident. Currently, the majority of automated record management systems used by the various state court system entities and other participants allow for the recording of only one statute number per criminal incident.

Using the example above, a step-by-step scenario of the business process would find:

- Arresting officer recording information about the robbery with a mask and a handgun on the arrest form cites a single robbery statute and provides additional details regarding the use of mask and a handgun in text narrative.
- At booking, the individual is processed through a LiveScan automated fingerprint identification system using the robbery statute that is then validated by the LiveScan system against a statute table. In the case of agencies that do not have a LiveScan system, fingerprints are rolled manually on a paper fingerprint card.

- For agencies with LiveScan systems, the arrest data is entered electronically into the FDLE Computerized Criminal History (CCH) system. For manual agencies, the fingerprint card is mailed to FDLE.
- Arrest affidavit information is then forwarded to the Clerk where the information is entered into their automated record management systems.
- The Clerk forwards the arrest affidavit to the State Attorney's office for their action.
- After the subject is adjudicated through the court process, the Clerk forwards final disposition information received from the State Attorney's Office to FDLE for matching to the arrest originally entered by the booking agency.

All this time, the manual and automated record management systems are recording only one statute number and any modifying statutes can only be recorded in text narrative.

- The State Attorney reviews the arrest documents and decides how to proceed with prosecution.
- The State Attorney prepares the charging affidavit referencing the robbery statute and two additional modifying statutes for use of the mask and for the use of a handgun.

As the modifying statutes have been placed into text or narrative fields within the automated systems and only one statute number (robbery) is searchable, a problem has been created for any individual or organization that needs to know all of the information regarding this robbery. What should be a simple, detail-rich automated information management process has become a labor intensive and often incomplete or inaccurate depiction of the criminal incident due to limitations and restrictions imposed by the automated records management systems. It is misleading and inappropriate for the original statute (robbery) to stand on its own without the simultaneous display of the modifying statutes.

As a single, standardized statute table does not exist (that contains all of the possible combinations of statutes and modifying statutes), state court system entities and other participants have been forced to develop their own proprietary statute tables. These tables often contain agency-specific offense codes to describe the various combinations of statutes and modifiers. When these agency-specific (and non-standard) offense codes are submitted to the state court system entities and other participants, they do not match the official Florida Statutes,

and are either rejected or placed into limbo until an employee can manually sort out the information and then hopefully, that employee will record an appropriate statute that adequately describes the severity of the crime.

Another problem that aggravates the effective processing and reporting of criminal statute information is the “effective date” of new, revised, or repealed statutes. Statutes are often ratified by the Legislature and the Governor with an effective date of July 1, which will make the law effective several months before formal publication of the official Florida Statutes. The Division of Statutory Revision must complete their process including complete research and review prior to publishing the official Florida Statutes. This research, review, and publishing process for the official Florida Statutes generally takes until October 1.

With the Florida Statutes published on or about October 1 and the statute having become effective some three (3) months earlier (July 1), another problem has been created. Violations of these (new) statutes are cited by law enforcement agencies beginning July 1 and sent throughout the criminal justice process before the official Florida Statutes can be entered into the automated record management system being used by the state court system entities and other participants. When these violations are reported to the various state and federal agencies, they cannot be matched against a valid statute. Without a valid statute, these records are either rejected or placed into limbo until an employee can manually sort out the information and record an appropriate statute that adequately describes the severity of the crime. This creates an enormous staff workload and jeopardizes the integrity and timeliness of the data being submitted and reported.

3. Recommendations

The development of one criminal “unified statute table”, containing base statutes and modifying statutes to be used by all state and local agencies, would facilitate a more timely and efficient exchange of much more accurate and complete criminal justice information.

The creation of one “unified statute table” by the Division of Statutory Revision, and its use by all state court system entities and other participants, will improve the quality and integrity of data

being shared and reported, increase staff productivity, and decrease the overall costs of the criminal justice process.

The Board has passed a motion recommending that this “unified statute table” be created and that use of this “unified statute table” be adopted by all state court system entities and other participants during its November 21-22, 2005 Board meeting.

Functional Changes

The automated record management systems of all state court system entities and other participants will need to be modified to incorporate base and modifying statutes. The changes required in this effort will have an impact on the state court system entities and other participants in terms of budget requirements.

The Article V Technology Board recommends the Legislature approve and fund this initiative, under the authority and duties of the Division of Statutory Revision, with the cooperation of the state court system entities and other participants, as is necessary to develop and maintain the proposed “unified statute table.”

Operational Changes

The source documents and business process for all the state court system entities and other participants will require revision to accommodate the inclusion of modifying statutes.

Specifically, arrest and charging affidavits will need to be changed as well as the record management systems (manual and automated) used to maintain and transmit arrest, charging, and disposition reporting to the state court system entities and other participants. Adequate training will be required to familiarize employees with implementation and usage issues associated with the unified “statute table.”

The Article V Technology Board recommends the Legislature require that all state court system entities and other participants utilize the proposed “unified statute table” as they are funded to make changes to their systems.

The Article V Technology Board recommends the Legislature consider a policy change that would standardize the effective date of new, revised, or rescinded criminal statutes to

October 1. This change will allow time for new, revised, and rescinded statutes to be included in automated systems used by state court system entities and other participants.

H. Minimum Data Elements for Policy Oversight

1. Issues

Section 29.0086, F.S. charges the Board with identification of minimum data elements needed by the Legislature to maintain policy oversight.

2. Findings

The Florida Legislature utilizes a number of sources, including the Office of State Court Administrator (OSCA), the Judicial Administration Commission (JAC), and the Department of Financial Services (DFS) for information to measure the performance of the various state court system entities and other participants. Each of these organizations (and others) have data collection and reporting systems that provide information to the Legislature in some form, but some information needed to provide policy oversight is not available or is not easily collected and reported.

The Board requested a list of data elements directly from the Legislature⁴⁴, the purpose of the list being to articulate the Legislature's needs in detail. A list detailing the forty-seven (47) pieces of information needed to provide policy oversight was provided to the Board in August 2005 and an analysis of those requirements was immediately begun, focused on three areas:

- define exactly what information was being asked for
- what organizations have the information
- and, if the information existed, what form would it be in
 - a readily available element or elements
 - information that would have to be derived or aggregated from multiple data elements.

The information needed to provide policy oversight was classified into four major categories:

- definitions
- counts
- expenditures
- costs/values/disbursements

⁴⁴ See Appendix F, Pages 1-2

The list was provided to the Board's Data Dictionary Work Group for analysis. The Data Dictionary Work Group reviewed the list and identified three likely sources for the information requested by the Legislature:

- Office of State Court Administrator (OSCA)
- Judicial Administration Commission (JAC)
- Department of Financial Services (DFS)

These organizations were contacted and meetings held with each to review the list in detail. After completing their own internal reviews, each organization responded with information on which of the requested information they could supply and from what source(s) the requested information could be extracted from or derived. Of the 47 pieces of information requested to provide policy oversight, forty-three (43) can be satisfied using sources currently available, and that the remaining four (4) pieces of information requested will require further investigation and analysis by the Data Dictionary Work Group. Forty-three (43) of the forty-seven (47) pieces of information requested to provide policy oversight have been listed⁴⁵ with definition of the information requested, the source of this information, and any special instructions or caveats regarding the information.

While it appears that the Legislature's oversight data needs can be met, it will be necessary for the Legislature to verify and analyze the information provided. Some of the pieces of information will require repeated (each time the information is requested) analysis, cross-reference, and verification to insure applicability and accuracy.

3. Recommendations

The Article V Technology Board recommends that the Data Dictionary Work Group be allowed to continue their analysis of the four (4) remaining pieces of information necessary for the Legislature to provide policy oversight. The Board will augment the current list of forty-three (43) pieces of information, with the remaining four (4) as soon as possible.

⁴⁵ See Appendix F, Pages 3-12

I. Unique Personal Identifier

1. Issues

The Board recognized the need for a unique personal identifier (UPI) that could be used to link individuals in dissimilar case types. Those recommendations were included in the Board's Interim Report dated January 15, 2005. As a result of the interim report, the 2005 Legislature passed SB 0348 requiring a report from the Board regarding the establishment and maintenance of a UPI for use in the state court system.⁴⁶

The Article V Technology Board acknowledges that UPI's are being used in every facet of our society including all levels of government and private enterprises. Consider the importance of UPI's as evidenced by the privileges associated with these UPI's, i.e., social security, driver's licenses, voter registration, medical insurance, credit cards, State of Florida Employee number, etc. Case maintenance systems that support the courts also assign a case number to non-criminal cases and an identification number to individuals charged in criminal cases in order to manage these cases through the judicial process.

There is currently no single method of identifying individuals involved in court cases (criminal or non-criminal) in any state including Florida. Whether the action before the court is criminal or non-criminal, the common denominator for entering case information into the multitude of case maintenance systems is the elected Clerk's office. During the process of entering criminal case information into the various case maintenance systems, a personal identification number (PIN) is assigned to the case information being entered. The number assigned is based upon the requirements of that case maintenance system and the demographic data collected (and provided) at that time. It is quite common for a criminal defendant to provide false demographic information at the time of arrest.

During the process of entering non-criminal case information into the various case maintenance systems, a case number is assigned to the case information being entered. The number assigned is based upon the requirements of that case maintenance system and the demographic data

⁴⁶ See Appendix G

collected (and provided) at that time. The demographic information available at the time a non-criminal case is filed is inadequate, as parties are not currently required to provide complete demographic information that could be used to identify them in that case uniquely.

As a result of the current business process, there is no way to link identification information on an individual in one system or county with identification information previously collected on an individual in another system or county.

- **Impediments - Criminal Cases**

Given that the criminal judicial process has long been practiced from the point of arrest, through the prosecutor, the courts, corrections, and parole and probation, it is not without impediments when addressing the issue of a UPI.

1. Biometrics (currently, only fingerprints are widely used) are the only acceptable means by which to positively identify an individual.
2. These biometrics (fingerprints) are only collected and maintained for the defendant in a criminal case.
3. Biometrics (fingerprints) from the defendant are not collected or are not available on all criminal cases at the time of booking or at other various events in the criminal judicial process.
4. Not all criminal cases are sent to the Clerk's office with adequate or accurate information from previous law enforcement processes (arresting agency, prosecutor, etc.) that is necessary to positively identify an individual.

- **Impediments - Non-Criminal Cases**

1. Biometrics (currently, fingerprints) are not currently collected on individuals involved in non-criminal cases.
2. The "demographic" information included on the cover sheet(s) for non-criminal case filings does not currently include all of the information necessary to positively identify an individual, such as:
 - a. Biometrics, when available
 - b. Name, (verified identification)

- c. Address, (verified)
 - d. Date of Birth, (verified)
 - e. Race, sex, Drivers License Number, Social Security Number, etc.
3. The process required to add or change the information included on the “demographic” cover sheet would require a change by “Judicial Rule” for the Supreme Court.
4. Clerk’s offices currently have no “business process” in place to perform these identification and verification functions. These processes have never been the Clerk’s responsibility.
5. Only the Clerks (each one, individually), can precisely estimate what the start-up and recurring resource requirements (systems, staffing, funding, etc.) would be to provide this function.
6. Many participants in these case types never appear in the Clerk’s office or in court.
7. The electronic filing of cases, by definition, allows cases to be filed without the physical presence of any individual in the Clerk’s office.
8. Non-criminal actions (other than jury trials) typically do not have a Clerk present at the proceeding. This may not apply to child support cases and other family law cases, i.e., a clerk is present, and such cases are a significant workload for the trial courts.

- **Impediments – General – Not Case Specific**

1. The Board has determined and agrees that no one unique personal identification numbering system has been identified (currently available) that provides a satisfactory solution to the tasks given to us by statute, in the timeframe required.
2. There are additional issues concerning ownership, access, licensing, etc. that require additional research, including legal research, when using proprietary software (CCIS, LexisNexis), but almost all viable options rely on proprietary software and services.
3. Despite the assurances of confidentiality by Vendors of proprietary software
 - a. Can the software be licensed with limited usage rights and annual fees in order to keep the software within State control, limit the cost of expansion, and make it easier to replace the algorithm with one from another vendor, open source, internally written, etc.?

- b. What applications and data structures will have to be modified, and at what expense, to allow the addition of a UPI?
4. Any agencies that have not already incorporated a UPI in their software will have a difficult task making the leap to a shared UPI.
5. Initial analysis by the Board questions the claimed (by Northrop Grumman Corporation) minimal information required to establish and maintain a Digital Birth Certificate solution (name, sex, date, and place of birth). If it is as simple as claimed, why has it not been implemented elsewhere?
6. Identifying family units (i.e., a family identification number) along with a UPI, as a UPI requirement has not been explored.
7. OSCA provided a presentation recommending use of the Florida Drivers License number for the state UPI. Currently the JIS system would use several demographic identifiers including social security number (SSN) and the Florida Drivers License number (DL).
 - a. The driver's license number is not unique according to DHSMV, and is not recommended for use as a UPI by DHSMV.
 - b. The SSN and DL numbers are not currently provided in non-criminal actions and an administrative order or Rule of Court would be required to provide, capture, and store the confidential information.
 - c. Businesses do not have DL or SSN numbers, but most would have Federal Employer Identification (FEID) numbers.
 - d. Many businesses have more than one FEID number, so uniqueness in the sense of having only one UPI value assigned to an organization may not be completely resolved.
8. Regardless of what concept is used, it is a major change in the way business is done.
 - a. More research, much discussion, and consensus building will be necessary (by many agencies) before a solution can be finalized for submission to the legislature.
9. We need to develop a process that will stand the test of time as opposed to doing it quickly.
 - a. If it is not done with a considerable and adequate planning and attention to detail, it will be very difficult to remedy any shortcomings or do it over.

10. If Security, Privacy and Functionality are all critical to the effective establishment of a UPI, it would be inappropriate to race forward with an unproven solution (that may not include all three of the above critical success factors) without more time, work, research, testing, and assessment.
11. There will be critical success factors (i.e.: Standards, Ease of use, Implementation, Integration, Interoperability, Protection of ID privacy, and the ability of the solution to effectively and functionally address the challenge of keeping “Identity” and “Privilege” separate) that must be addressed prior to moving forward with a solution and determining afterwards what challenges must be faced in maintaining the solution.
12. If the State Identification Number (SID) in use at FDLE is adopted, there is the issue of information accuracy and ownership.
 - a. What organization or agency will have the responsibility of ensuring that the information attached to the SID is accurate?
 - b. The SID is generated in the Automated Fingerprint Identification System (AFIS) owned and managed by FDLE.
 - c. The agency arresting the individual, is charged with identification of that individual including the attaching of personal information (race, gender, date of birth, SSN, etc.) and charging information to the AFIS record.
 - d. What organization or agency will determine what information is accurate?

2. Findings

The level of complication involving the analysis, design, implementation, and maintenance of a UPI for use by the state court system to link information on individuals across case types has been vastly underestimated. In the opinion of the Board, the only way to successfully address these issues and recommend a UPI that could actually be successfully implemented, is by completing a formal business process analysis on all known solutions.

The Board believes that there are no “quick fix” solutions to the problem of unique personal identification across case types. The Board does believe that the concept has value and merit and is achievable given adequate authority, resources, and time to perform a thorough examination of options.

The Board has been unable to complete all facets of the tasks that would be required in order to perform a comprehensive business process analysis. The Board, as an advisory organization to the Legislature, has no authority to compel organizations to provide all of the information necessary to complete the analysis as specified by statute. This analysis must include the fiscal impact on the court system, the clerks of court, the counties, state attorneys, public defenders, local and state law enforcement agencies, and other related state agencies. That information is not currently available to the Board.

The Article V Technology Board does not currently have the dedicated resources (funding, staffing, and time) required to gather and analyze all of the information that would be necessary to perform a complete business process analysis.

The UPI Task Force was conceived and is made up of a dedicated group of technical and process experts from a wide range of organizations; however, they are volunteers that cannot dedicate all of their energies to the Board. Reliance on volunteer staffing for this business process analysis, given the time constraints within the statute, has proven to be inadequate.

3. Recommendations

The Article V Technology Board recommends that a long-term strategy be developed that would include the performance of a complete business process analysis.

- **The need and applicability of a UPI extends far beyond the authorities and responsibilities of the Article V Technology Board.**
- **The wide spread implications of a UPI may indicate a need to task an organization whose focus is broader than the criminal justice community, and may require a consortium of communities that represent the total interests of society.**
- **The organization selected to perform the business process analysis must have the authority to request (compel) information.**
- **The organization selected to perform the business process analysis must have the resources (funding, staff, and time) necessary to analyze the information.**

- **The Legislature, the Supreme Court, and the elected Clerk's of Court could oversee this issue as they have the inherent authority to gather the information needed.**
- **Using the information gathered, the Board could then perform a complete business process analysis, given appropriate funding and staffing.**

The Article V Technology Board recommends that a change in Judicial Rule be considered that would add the additional information necessary to positively identify an individual, and that the Clerks be assigned responsibility for collecting and maintaining that additional information.

Appendix A

CHAPTER 29

COURT SYSTEM FUNDING

- 29.001 State courts system elements and definitions.
- 29.002 Basis for funding.
- 29.003 Phase-in schedule.
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- 29.018 Cost sharing of due process costs; legislative intent.
- 29.019 Billings rendered for pre-July 1, 2004, services.
- 29.21 Department of Management Services to provide assistance in procuring services.

29.001 State courts system elements and definitions.--

(1) For the purpose of implementing s. 14, Art. V of the State Constitution, the state courts system is defined to include the enumerated elements of the Supreme Court, district courts of appeal, circuit courts, county courts, and certain supports thereto. The offices of public defenders and state attorneys are defined to include the enumerated elements of the 20 state attorneys' offices and the enumerated elements of the 20 public defenders' offices. Court-appointed counsel are defined to include the enumerated elements for counsel appointed to ensure due process in criminal and civil proceedings in accordance with state and federal constitutional guarantees. Funding for the state courts system, the state attorneys' offices, the public defenders' offices, and court-appointed counsel shall be provided from state revenues appropriated by general law.

(2) Although a program or function currently may be funded by the state or prescribed or established in general law, this does not designate the program or function as an element of the state courts system, state attorneys' offices, public defenders' offices, or the offices of the circuit and county court clerks performing court-related functions as described in s. 14, Art. V of the State Constitution.

History.--s. 1, ch. 2000-237; s. 39, ch. 2003-402.

¹29.002 Basis for funding.--

(1) The Legislature's appropriation of funding in the General Appropriations Act for appropriate salaries, costs, and expenses pursuant to s. 14, Art. V of the State Constitution shall be based upon reliable and auditable data substantiating the revenues and expenditures associated with each essential element.

(2) Court costs, fines, and other dispositional assessments shall be imposed and enforced by the courts, collected by the clerks of the circuit and county courts, and may be directed to the state in accordance with authorizations and procedures as determined by general law.

(3) Waiver of fees and costs for indigents in criminal or civil actions and requests for reductions in fees and costs and for a court-appointed attorney shall be determined through procedures established pursuant to general law. Similarly, requests for reductions in fees and costs and for a court-appointed attorney shall occur after examination, pursuant to general law.

History.--s. 2, ch. 2000-237; s. 153, ch. 2003-402.

¹Note.--Repealed July 1, 2004, by s. 153, ch. 2003-402.

¹29.003 Phase-in schedule.--

(1) During fiscal years 2000-2001 and 2001-2002, the Legislature shall:

(a) Review the state courts system to determine those elements appropriate to receive state funding and, based on the availability of accurate data, determine the most appropriate means for funding such elements and provide direction regarding budgeting for the state courts system.

(b) Review selected salaries, costs, and expenses of the state courts system which may be funded from appropriate filing fees for judicial proceedings and service charges and costs.

(2) Prior to or during fiscal years 2001-2002 and 2002-2003, the Legislature shall review the offices of the state attorneys and public defenders and the use of civil indigency counsel and conflict counsel to determine those elements appropriate to receive state funding and, based on the availability of accurate data, determine the most appropriate means for funding such elements and provide direction regarding budgeting for the state attorneys' offices, public defenders' offices, and court-appointed counsel.

(3) Prior to or during fiscal years 2002-2003 and 2003-2004, the Legislature shall review the offices of the clerks of the circuit and county courts to define court-related functions. If there is accurate data on court-related functions and costs, the Legislature may determine the appropriate levels of filing fees, service charges, and court costs to fund those functions.

(4) During fiscal years 2000-2001 and 2001-2002, the Legislature shall review current law with regard to authorizations for court costs, fines, and other dispositional assessments and redirect appropriate revenues to the state.

(5) On or before July 1, 2004, the Legislature will fully effectuate the requirements of s. 25, Art. XII of the State Constitution. Prior to July 1, 2004, the counties are financially obligated to continue to fund existing elements of the state courts system, state attorneys' offices, public defenders' offices, court-appointed counsel, and the offices of the clerks of the circuit and county courts performing court-related functions, consistent with current law and practice, until such time as the Legislature expressly assumes the responsibility for funding such elements. Counties will fund the cost of criminal cases filed by the Office of Statewide Prosecution. Additionally, the Legislature will define by general law those local requirements of the state courts system for which the counties must pay reasonable and necessary salaries, costs, and expenses.

(6) Pursuant to s. 14, Art. V, and s. 25, Art. XII of the State Constitution, commencing in fiscal year 2000-2001, the Legislature will appropriate funds:

(a) To create a contingency fund to assist small counties with extraordinary case-related costs in criminal cases.

(b) For pilot projects in at least three counties to cover reasonable and necessary conflict attorneys.

History.--s. 3, ch. 2000-237; s. 153, ch. 2003-402.

¹**Note.**--Repealed July 1, 2004, by s. 153, ch. 2003-402.

29.004 State courts system.--For purposes of implementing s. 14, Art. V of the State Constitution, the elements of the state courts system to be provided from state revenues appropriated by general law are as follows:

- (1) Judges appointed or elected pursuant to chapters 25, 26, 34, and 35.
- (2) Juror compensation and expenses.
- (3) Reasonable court reporting and transcription services necessary to meet constitutional requirements.
- (4) Construction or lease of facilities, maintenance, utilities, and security for the district courts of appeal and the Supreme Court.
- (5) Court foreign language and sign-language interpreters and translators essential to comply with constitutional requirements.
- (6) Expert witnesses not requested by any party which are appointed by the court pursuant to an express grant of statutory authority.
- (7) Judicial assistants, law clerks, and resource materials.
- (8) General magistrates, special magistrates, and hearing officers.
- (9) Court administration.
- (10) Case management. Case management includes:
 - (a) Initial review and evaluation of cases, including assignment of cases to court divisions or dockets.
 - (b) Case monitoring, tracking, and coordination.
 - (c) Scheduling of judicial events.
 - (d) Service referral, coordination, monitoring, and tracking for treatment-based drug court programs under s. 397.334.

Case management may not include costs associated with the application of therapeutic jurisprudence principles by the courts. Case management also may not include case intake and records management conducted by the clerk of court.

(11) Mediation and arbitration, limited to trial court referral of a pending judicial case to a mediator or a court-related mediation program, or to an arbitrator or a court-related arbitration program, for the limited purpose of encouraging and assisting the litigants in partially or completely settling the case prior to adjudication on the merits by the court. This does not include citizen dispute settlement centers under s. 44.201 and community arbitration programs under s. 985.304.

(12) Basic legal materials reasonably accessible to the public other than a public law library. These materials may be provided in a courthouse facility or any library facility.

(13) The Judicial Qualifications Commission.

(14) Offices of the appellate clerks and marshals and appellate law libraries.

History.--s. 4, ch. 2000-237; s. 40, ch. 2003-402; s. 3, ch. 2004-11.

29.005 State attorneys' offices and prosecution expenses.--For purposes of implementing s. 14, Art. V of the State Constitution, the elements of the state attorneys' offices to be provided from state revenues appropriated by general law are as follows:

(1) The state attorney of each judicial circuit and assistant state attorneys and other staff as determined by general law.

(2) Reasonable court reporting and transcription services necessary to meet constitutional or statutory requirements, including the cost of transcribing and copying depositions of witnesses and the cost of foreign language and sign-language interpreters and translators.

(3) Witnesses, including expert witnesses, summoned to appear for an investigation, preliminary hearing, or trial in a case when the witnesses are summoned by a state attorney, and any other expert witnesses required in a court hearing by law or whomever the state attorney deems necessary for the performance of his or her duties.

(4) Mental health professionals appointed pursuant to s. 394.473 and required in a court hearing involving an indigent, and mental health professionals appointed pursuant to s. 916.115(2) and required in a court hearing involving an indigent.

(5) Reasonable transportation services in the performance of constitutional and statutory responsibilities. Motor vehicles owned by the counties and provided exclusively to state attorneys as of July 1, 2003, and any additional vehicles owned by the counties and provided exclusively to state attorneys during fiscal year 2003-2004 shall be transferred by title to the state effective July 1, 2004.

(6) Travel expenses reimbursable under s. 112.061 reasonably necessary in the performance of constitutional and statutory responsibilities.

(7) Reasonable library and electronic legal research services, other than a public law library.

(8) Reasonable pretrial consultation fees and costs.

History.--s. 5, ch. 2000-237; s. 41, ch. 2003-402; s. 26, ch. 2004-265.

29.006 Public defenders and indigent defense costs.--For purposes of implementing s. 14, Art. V of the State Constitution, the elements of the public defenders' offices to be provided from state revenues appropriated by general law are as follows:

(1) The public defender of each judicial circuit and assistant public defenders and other staff as determined by general law.

(2) Reasonable court reporting and transcription services necessary to meet constitutional or statutory requirements, including the cost of transcribing and copying depositions of witnesses and the cost of foreign language and sign-language interpreters and translators.

(3) Witnesses, including expert witnesses, summoned to appear for an investigation, preliminary hearing, or trial in a case when the witnesses are summoned on behalf of an indigent defendant, and any other expert witnesses required in a court hearing by law or whomever the public defender deems necessary for the performance of his or her duties.

(4) Mental health professionals appointed pursuant to s. 394.473 and required in a court hearing involving an indigent, and mental health professionals appointed pursuant to s. 916.115(2) and required in a court hearing involving an indigent.

(5) Reasonable transportation services in the performance of constitutional and statutory responsibilities. Motor vehicles owned by counties and provided exclusively to public defenders as of July 1, 2003, and any additional vehicles owned by the counties and provided exclusively to public defenders during fiscal year 2003-2004 shall be transferred by title to the state effective July 1, 2004.

(6) Travel expenses reimbursable under s. 112.061 reasonably necessary in the performance of constitutional and statutory responsibilities.

(7) Reasonable library and electronic legal research services, other than a public law library.

(8) Reasonable pretrial consultation fees and costs.

History.--s. 6, ch. 2000-237; s. 42, ch. 2003-402; s. 27, ch. 2004-265.

29.007 Court-appointed counsel.--For purposes of implementing s. 14, Art. V of the State Constitution, the elements of court-appointed counsel to be provided from state revenues appropriated by general law are as follows:

- (1) Private attorneys appointed by the court to handle cases where the defendant is indigent and cannot be represented by the public defender under ss. 27.42 and 27.53.
- (2) Private attorneys appointed by the court to represent indigents or other classes of litigants in civil proceedings requiring court-appointed counsel in accordance with state and federal constitutional guarantees and federal and state statutes.
- (3) Reasonable court reporting and transcription services necessary to meet constitutional or statutory requirements, including the cost of transcribing and copying depositions of witnesses and the cost of foreign language and sign-language interpreters and translators.
- (4) Witnesses, including expert witnesses, summoned to appear for an investigation, preliminary hearing, or trial in a case when the witnesses are summoned on behalf of an indigent, and any other expert witnesses approved by the court.
- (5) Mental health professionals appointed pursuant to s. 394.473 and required in a court hearing involving an indigent, and mental health professionals appointed pursuant to s. 916.115(2) and required in a court hearing involving an indigent.
- (6) Reasonable pretrial consultation fees and costs.
- (7) Travel expenses reimbursable under s. 112.061 reasonably necessary in the performance of constitutional and statutory responsibilities.

History.--s. 7, ch. 2000-237; s. 43, ch. 2003-402.

29.008 County funding of court-related functions.--

(1) Counties are required by s. 14, Art. V of the State Constitution to fund the cost of communications services, existing radio systems, existing multiagency criminal justice information systems, and the cost of construction or lease, maintenance, utilities, and security of facilities for the circuit and county courts, public defenders' offices, state attorneys' offices, guardian ad litem offices, and the offices of the clerks of the circuit and county courts performing court-related functions. For purposes of this section, the term "circuit and county courts" shall include the offices and staffing of the guardian ad litem programs. For purposes of implementing these requirements, the term:

(a) "Facility" means reasonable and necessary buildings and office space and appurtenant equipment and furnishings, structures, real estate, easements, and related interests in real estate, including, but not limited to, those for the purpose of housing legal materials for use by the general public and personnel, equipment, or functions of the circuit or county courts, public defenders' offices, state attorneys' offices, and court-related functions of the office of the clerks of the circuit and county courts and all storage. The term also includes access to parking for such facilities in connection with such court-related functions that may be available free or from a private provider or a

local government for a fee. The office space provided by a county may not be less than the standards for space allotment adopted by the Department of Management Services. County funding must include physical modifications and improvements to all facilities as are required for compliance with the Americans with Disabilities Act. Upon mutual agreement of a county and the affected entity in this paragraph, the office space provided by the county may vary from the standards for space allotment adopted by the Department of Management Services. This section applies only to facilities that are leased, or on which construction commences, after June 30, 2003.

1. As of July 1, 2005, equipment and furnishings shall be limited to that appropriate and customary for courtrooms, jury facilities, and other public areas in courthouses and any other facility occupied by the courts, state attorneys, and public defenders.

2. Equipment and furnishings under this paragraph in existence and owned by counties on July 1, 2005, except for that in the possession of the clerks, for areas other than courtrooms, jury facilities, and other public areas in courthouses and any other facility occupied by the courts, state attorneys, and public defenders, shall be transferred to the state at no charge. This provision does not apply to any communication services as defined in paragraph (f).

(b) "Construction or lease" includes, but is not limited to, all reasonable and necessary costs of the acquisition or lease of facilities for all judicial officers, staff, jurors, volunteers of a tenant agency, and the public for the circuit and county courts, the public defenders' offices, state attorneys' offices, and for performing the court-related functions of the offices of the clerks of the circuit and county courts. This includes expenses related to financing such facilities and the existing and future cost and bonded indebtedness associated with placing the facilities in use.

(c) "Maintenance" includes, but is not limited to, all reasonable and necessary costs of custodial and groundskeeping services and renovation and reconstruction as needed to accommodate functions for the circuit and county courts, the public defenders' offices, and state attorneys' offices and for performing the court-related functions of the offices of the clerks of the circuit and county court and for maintaining the facilities in a condition appropriate and safe for the use intended.

(d) "Utilities" means all electricity services for light, heat, and power; natural or manufactured gas services for light, heat, and power; water and wastewater services and systems, stormwater or runoff services and systems, sewer services and systems, all costs or fees associated with these services and systems, and any costs or fees associated with the mitigation of environmental impacts directly related to the facility.

(e) "Security" includes but is not limited to, all reasonable and necessary costs of services of law enforcement officers or licensed security guards and all electronic, cellular, or digital monitoring and screening devices necessary to ensure the safety and security of all persons visiting or working in a facility; to provide for security of the facility, including protection of property owned by the county or the state; and for

security of prisoners brought to any facility. This includes bailiffs while providing courtroom and other security for each judge and other quasi-judicial officers.

(f) "Communications services" are defined as any reasonable and necessary transmission, emission, and reception of signs, signals, writings, images, and sounds of intelligence of any nature by wire, radio, optical, or other electromagnetic systems and includes all facilities and equipment owned, leased, or used by judges, clerks, public defenders, state attorneys, and all staff of the state courts system, state attorneys' offices, public defenders' offices, and clerks of the circuit and county courts performing court-related functions. Such system or services shall include, but not be limited to:

1. Telephone system infrastructure, including computer lines, telephone switching equipment, and maintenance, and facsimile equipment, wireless communications, cellular telephones, pagers, and video teleconferencing equipment and line charges. Each county shall continue to provide access to a local carrier for local and long distance service and shall pay toll charges for local and long distance service.

2. All computer networks, systems and equipment, including computer hardware and software, modems, printers, wiring, network connections, maintenance, support staff or services including any county-funded support staff located in the offices of the circuit court, county courts, state attorneys, and public defenders, training, supplies, and line charges necessary for an integrated computer system to support the operations and management of the state courts system, the offices of the public defenders, the offices of the state attorneys, and the offices of the clerks of the circuit and county courts and the capability to connect those entities and reporting data to the state as required for the transmission of revenue, performance accountability, case management, data collection, budgeting, and auditing purposes. The integrated computer system shall be operational by July 1, 2006, and, at a minimum, permit the exchange of financial, performance accountability, case management, case disposition, and other data across multiple state and county information systems involving multiple users at both the state level and within each judicial circuit and be able to electronically exchange judicial case background data, sentencing scoresheets, and video evidence information stored in integrated case management systems over secure networks. Once the integrated system becomes operational, counties may reject requests to purchase communication services included in this subparagraph not in compliance with standards, protocols, or processes adopted by the board established pursuant to s. 29.0086.

3. Courier messenger and subpoena services.

4. Auxiliary aids and services for qualified individuals with a disability which are necessary to ensure access to the courts. Such auxiliary aids and services include, but are not limited to, sign language interpretation services required under the federal Americans with Disabilities Act other than services required to satisfy due process requirements and identified as a state funding responsibility pursuant to ss. 29.004, 29.005, 29.006, and 29.007, real-time transcription services for individuals who are hearing impaired, and

assistive listening devices and the equipment necessary to implement such accommodations.

(g) "Existing radio systems" includes, but is not limited to, law enforcement radio systems that are used by the circuit and county courts, the offices of the public defenders, the offices of the state attorneys, and for court-related functions of the offices of the clerks of the circuit and county courts. This includes radio systems that were operational or under contract at the time Revision No. 7, 1998, to Art. V of the State Constitution was adopted and any enhancements made thereafter, the maintenance of those systems, and the personnel and supplies necessary for operation.

(h) "Existing multiagency criminal justice information systems" includes, but is not limited to, those components of the multiagency criminal justice information system as defined in s. 943.045, supporting the offices of the circuit or county courts, the public defenders' offices, the state attorneys' offices, or those portions of the offices of the clerks of the circuit and county courts performing court-related functions that are used to carry out the court-related activities of those entities. This includes upgrades and maintenance of the current equipment, maintenance and upgrades of supporting technology infrastructure and associated staff, and services and expenses to assure continued information sharing and reporting of information to the state. The counties shall also provide additional information technology services, hardware, and software as needed for new judges and staff of the state courts system, state attorneys' offices, public defenders' offices, and the offices of the clerks of the circuit and county courts performing court-related functions.

(2) Counties shall pay reasonable and necessary salaries, costs, and expenses of the state courts system, including associated staff and expenses, to meet local requirements.

(a) Local requirements are those specialized programs, nonjudicial staff, and other expenses associated with specialized court programs, specialized prosecution needs, specialized defense needs, or resources required of a local jurisdiction as a result of special factors or circumstances. Local requirements exist:

1. When imposed pursuant to an express statutory directive, based on such factors as provided in paragraph (b); or

2. When:

a. The county has enacted an ordinance, adopted a local program, or funded activities with a financial or operational impact on the circuit or a county within the circuit; or

b. Circumstances in a given circuit or county result in or necessitate implementation of specialized programs, the provision of nonjudicial staff and expenses to specialized court programs, special prosecution needs, specialized defense needs, or the commitment of resources to the court's jurisdiction.

(b) Factors and circumstances resulting in the establishment of a local requirement include, but are not limited to:

1. Geographic factors;
2. Demographic factors;
3. Labor market forces;
4. The number and location of court facilities; or
5. The volume, severity, complexity, or mix of court cases.

(c) Local requirements under subparagraph (a)2. must be determined by the following method:

1. The chief judge of the circuit, in conjunction with the state attorney and the public defender only on matters that impact their offices, shall identify all local requirements within the circuit or within each county in the circuit and shall identify the reasonable and necessary salaries, costs, and expenses to meet these local requirements.

2. On or before June 1 of each year, the chief judge shall submit to the board of county commissioners a tentative budget request for local requirements for the ensuing fiscal year. The tentative budget must certify a listing of all local requirements and the reasonable and necessary salaries, costs, and expenses for each local requirement. The board of county commissioners may, by resolution, require the certification to be submitted earlier.

3. The board of county commissioners shall thereafter treat the certification in accordance with the county's budgetary procedures. A board of county commissioners may:

a. Determine whether to provide funding, and to what extent it will provide funding, for salaries, costs, and expenses under this section;

b. Require a county finance officer to conduct a preaudit review of any county funds provided under this section prior to disbursement;

c. Require review or audit of funds expended under this section by the appropriate county office; and

d. Provide additional financial support for the courts system, state attorneys, or public defenders.

(d) Counties may satisfy these requirements by entering into interlocal agreements for the collective funding of these reasonable and necessary salaries, costs, and expenses.

(3) The following shall be considered a local requirement pursuant to subparagraph (2)(a)1.:

(a) Legal aid programs, which shall be funded at a level equal to or greater than the amount provided from filing fees and surcharges to legal aid programs from October 1, 2002, to September 30, 2003.

(b) Alternative sanctions coordinators pursuant to ss. 984.09 and 985.216.

(4)(a) Except for revenues used for the payment of principal or interest on bonds, tax anticipation certificates, or any other form of indebtedness as allowed under s. 218.25(1),(2) or (4), the Department of Revenue shall withhold revenue sharing receipts distributed pursuant to part II of chapter 218 from any county not in compliance with the county funding obligations for items specified in paragraphs (1)(a), (c), (d), (e), (f), (g), and (h) and subsection (3). The department shall withhold an amount equal to the difference between the amount spent by the county for the particular item in county fiscal year 2002-2003, the base year, plus 3 percent, and the amount budgeted by the county for these obligations in county fiscal year 2004-2005, if the latter is less than the former. Every year thereafter, the department shall withhold such an amount if the amount budgeted in that year is less than the base year plus 1.5 percent growth per year. On or before December 31, 2004, counties shall send to the department a certified copy of their budget documents for the respective 2 years, separately identifying expenditure amounts for each county funding obligation specified in paragraphs (1) (a), (c), (d), (e), (f), (g), and (h) and subsection (3). Each year thereafter, on or before December 31 of that year, each county shall send a certified copy of its budget document to the department.

(b) Beginning in fiscal year 2005-2006, additional amounts shall be withheld pursuant to paragraph (a), if the amount spent in the previous fiscal year on the items specified in paragraphs (1)(a), (c), (d), (e), (f), (g), and (h), and subsection (3) is less than the amount budgeted for those items. Each county shall certify expenditures for these county obligations for the prior fiscal year to the department within 90 days after the end of the fiscal year.

(c) The department shall transfer the withheld payments to the General Revenue Fund by March 31 of each year. These payments are hereby appropriated to the Department of Revenue to pay for these responsibilities on behalf of the county.

History.--s. 8, ch. 2000-237; s. 1, ch. 2001-265; ss. 44, 45, ch. 2003-402; s. 28, ch. 2004-265.

29.0085 Annual statement of certain revenues and expenditures.--

(1) Each county shall submit annually to the Chief Financial Officer a statement of revenues and expenditures as set forth in this section in the form and manner prescribed by the Chief Financial Officer in consultation with the Legislative Committee on Intergovernmental Relations, provided that such statement identify total county expenditures on each of the services outlined in s. 29.008.

(2)(a) Within 6 months of the close of the local government fiscal year, each county shall submit to the Chief Financial Officer a statement of compliance from its independent certified public accountant, engaged pursuant to s. 218.39, that the certified statement of expenditures was in accordance with s. 29.008 and this section. All discrepancies noted by the independent certified public accountant shall be included in the statement furnished by the county to the Chief Financial Officer.

(b) If the Chief Financial Officer determines that additional auditing procedures are appropriate because:

1. The county failed to submit timely its annual statement;
2. Discrepancies were noted by the independent certified public accountant; or
3. The county failed to file before March 31 of each year the certified public accountant statement of compliance, the Chief Financial Officer may send his or her personnel or contract for services to bring the county into compliance. The costs incurred by the Chief Financial Officer shall be paid promptly by the county upon certification by the Chief Financial Officer.

(c) Where the Chief Financial Officer elects to utilize the services of an independent contractor, such certification by the Chief Financial Officer may require the county to make direct payment to a contractor. Any funds owed by a county in such matters shall be recovered pursuant to s. 17.04 or s. 17.041.

(3) The Chief Financial Officer shall adopt any rules necessary to implement his or her responsibilities pursuant to this section.

History.--s. 46, ch. 2003-402.

29.0086 Article V Technology Board.--

(1) The Article V Technology Board is created and administratively housed in the Office of Legislative Services within the Legislature.

(2) The board shall be composed of 10 members, as follows:

(a) The Chief Justice of the Supreme Court, or his or her designee, who shall serve as chair.

(b) A person appointed by the Speaker of the House of Representatives to represent executive branch agencies that participate on the Criminal and Juvenile Justice Information Systems Council established pursuant to s. 943.06.

(c) A private sector representative appointed by the Speaker of the House of Representatives with general knowledge of or experience in managing enterprise

integration projects; however, representatives of information technology products and services vendors or any of their subsidiaries that sell products or services to the state shall not be appointed.

(d) A person appointed by the President of the Senate representing law enforcement agencies.

(e) A private sector representative appointed by the President of the Senate with general knowledge of or experience in managing enterprise integration projects; however, representatives of information technology products and services vendors or any of their subsidiaries that sell products or services to the state shall not be appointed.

(f) A state attorney, appointed by the Florida Prosecuting Attorneys Association, or his or her designee.

(g) A public defender, appointed by the Florida Public Defender Association, or his or her designee.

(h) A court clerk, appointed by the Florida Association of Court Clerks and Comptroller, Inc., or his or her designee.

(i) A county budget director, appointed by the Florida Association of Counties.

(j) A county management information system director, appointed by the Florida Association of Counties.

(3) An appointment may be made to fill a vacancy. When a member must hold office to be qualified for membership on the board, the member's term on the board shall expire upon failure to maintain the office.

(4) Board members shall serve without compensation but are entitled to reimbursement for expenses incurred in carrying out their duties as provided in s. 112.061. Members who are public officers or employees shall be reimbursed through the budget entity through which they are compensated.

(5) The board shall:

(a) Adopt a charter that defines the major objectives, activities, and deliverables necessary to implement only the requirements of this section.

(b) By January 15, 2005, provide a report to the Governor, the President of the Senate, the Speaker of the House of Representatives, and the Chief Justice of the Supreme Court. The report shall:

1. Identify the minimum data elements and functional requirements needed by each of the state court system entities to conduct business transactions, and needed by the Legislature to maintain policy oversight.
2. Identify the security and access requirements needed to enable and maintain data integration.
3. Identify information standards and protocols for data integration, to include common identifiers, common data field elements, and a common data dictionary.
4. Recommend policy, functional, and operational changes needed to achieve necessary access to data.

(c) Based upon the review and consideration of the January 15, 2005, report by the Legislature, and not later than January 15, 2006, provide a report to the Governor, the President of the Senate, the Speaker of the House of Representatives, and the Chief Justice of the Supreme Court that proposes alternative integration models and analyzes associated advantages and disadvantages of each model. To the extent possible, standards, protocols, and processes that integrate disparate network systems using open standards, and data warehouse and middleware connectivity strategies that maintain and leverage existing networks and information systems should be considered in the report. For each alternative integration model proposed, the board shall:

1. Analyze and describe the specific policy, functional, operational, fiscal, and technical advantages and disadvantages. This shall also include an analysis of the specific plans and integration requirements related to the Judicial Inquiry System developed by the Office of State Court Administrator within the Supreme Court and the Comprehensive Case Information System developed by the Florida Association of Court Clerks and Comptroller, Inc.
2. Propose a system for maintaining security to prevent unauthorized access to applications or data.

The report shall also propose an operational governance structure to achieve and maintain the necessary level of integration among system users at both the state and judicial circuit levels as provided for in this subsection.

(6) For purposes of this section, integration shall be defined as the minimum requirements needed to provide authorized users of the state courts system, the Legislature, and authorized Executive Branch agencies access to data reasonably required for the performance of official duties regardless of where the data is maintained. Such access should enable the secure and reliable transfer and exchange of state court system and legislative reporting data across multiple state and county systems involving multiple users at both the state level and within each judicial circuit.

(7) The board may establish workgroups as needed that shall be composed of representatives from their respective organizations who are knowledgeable concerning applicable business functions, related data processing requirements, and information system networks and infrastructure within their respective jurisdiction.

(8) The appointment of board members shall be completed in time to allow for the initial meeting of the board to be held no later than August 15, 2004. The board shall meet at the call of the chair.

(9) This section is repealed effective July 1, 2006.

History.--s. 29, ch. 2004-265.

¹29.009 Contingency fund.--

(1) Any county with a population of less than 85,000, according to the most recent decennial census, may apply to the Office of the State Courts Administrator for additional funding to cover extraordinary criminal-case-related costs.

(2) The Office of the State Courts Administrator, in consultation with the chairs of the appropriations committees of the Legislature, shall develop a process whereby counties may request funds pursuant to this section. Such process shall be consistent with legislative intent regarding this act. The Office of the State Courts Administrator shall review any request for funds by a county under this section and, if the Office of the State Courts Administrator determines that a request is valid, it may provide assistance upon finding a qualifying county's budget is inadequate to cover extraordinary criminal-case-related costs and that the deficiency will result in an impairment of the operations of the county.

(3) The State Courts Administrator shall submit a report on a quarterly basis, including a complete accounting of the contingency fund.

History.--s. 10, ch. 2000-237; ss. 23, 24, ch. 2001-254; s. 153, ch. 2003-402.

¹**Note.**--Repealed July 1, 2004, by s. 153, ch. 2003-402.

29.0095 Budget expenditure reports.--

(1) The chief judge of each circuit shall, by October 1 of each fiscal year, submit an itemized report to the Governor, the President of the Senate, and the Speaker of the House of Representatives showing the amount of state funds expended during the previous fiscal year ending in June for each of the items enumerated in s. 29.004 that pertain to circuit and county courts.

(2) Each state attorney shall, by October 1 of each fiscal year, submit an itemized report to the Governor, the President of the Senate, and the Speaker of the House of

Representatives showing the amount of state funds expended during the previous fiscal year ending in June for each of the items enumerated in s. 29.005.

(3) Each public defender shall, by October 1 of each fiscal year, submit an itemized report to the Governor, the President of the Senate, and the Speaker of the House of Representatives showing the amount of state funds expended during the previous fiscal year ending in June for each of the items enumerated in s. 29.006.

(4) The Legislative Budget Commission shall prescribe the format of the report required by this section in consultation with the Chief Justice and the Justice Administrative Commission.

History.--s. 47, ch. 2003-402.

¹29.011 Pilot projects; conflict attorneys.--Pursuant to s. 14, Art. V, and s. 25, Art. XII of the State Constitution, and s. 27.52, and notwithstanding s. 925.037, the Legislature creates pilot projects to reimburse three counties for reasonable and necessary conflict counsel fees, expenses, and costs. The counties designated for the pilot projects must institute cost containment and accountability processes and provide a detailed quarterly report to the Governor, the President of the Senate, the Speaker of the House of Representatives, and the Joint Legislative Committee on Article V. The report shall include, but is not limited to:

- (1) The total number of conflict cases.
- (2) The steps that were taken to avoid the conflict, if any.
- (3) The number of each type of case identified with specificity.
- (4) The length of each case.
- (5) The total amount paid to each attorney.
- (6) The total year-to-date payments to conflict attorneys.
- (7) The method of payment, for example, hourly rate, flat fee, contract, or other.

All information must be broken down based on whether the case was given to outside counsel due to an ethical conflict or due to an overextended caseload.

History.--s. 11, ch. 2000-237; s. 153, ch. 2003-402.

¹Note.--Repealed July 1, 2004, by s. 153, ch. 2003-402.

29.012 Construction.--Nothing in this act shall require the Legislature to fund any court function or court-related activities of the court system, the state attorneys' offices, public

defenders' offices, conflict counsel, the statewide prosecutor, or the clerks of the circuit and county courts.

History.--s. 14, ch. 2000-237.

29.014 Article V Indigent Services Advisory Board.--

(1) There is created the Article V Indigent Services Advisory Board. The board shall exist for the purpose of advising the Legislature in establishing qualifications and compensation standards governing the expenditure of state appropriated funds for those providing state-funded due process services for indigents provided through the courts, state attorneys, public defenders, and private court-appointed counsel. These services include, but are not limited to, court-appointed counsel, court reporting and transcription services, interpreter services, and expert witnesses. Standards recommended by the board shall take into account local variations and market conditions and availability of attorneys and other service providers. The board shall also exist for the purpose of advising the Legislature on cost containment strategies and policies.

(2) The board shall be composed of 12 members, appointed as follows:

(a) The Governor shall appoint three members as follows: one state attorney, one public defender, and one clerk of court.

(b) The President of the Senate and the Speaker of the House of Representatives shall each appoint three members. Of the members appointed by the President of the Senate, one shall be a county commissioner and one shall be an attorney in private practice with significant criminal trial experience. Of the members appointed by the Speaker of the House of Representatives, one shall be a county commissioner and one shall be an attorney in private practice with significant civil trial experience. The President of the Senate and the Speaker of the House of Representatives may each appoint a member from their respective chambers.

(c) The Chief Justice of the Supreme Court shall appoint three members as follows: three trial court judges, representing a cross-section of small, medium, and large circuits, different regions of the state, and court divisions. Appointments shall be made effective July 1, 2003.

(3) Members shall be appointed for 4-year terms, except for an appointment to fill an unexpired term, in which event the appointment shall be for the remainder of the unexpired term only. In the case where a member must hold office to be qualified for board membership, the member's term shall also expire upon failure to maintain the office, whichever occurs first.

(4) The members shall elect a chairperson annually and shall meet at the call of the chairperson, at the request of a majority of the membership, or at the request of the President of the Senate or the Speaker of the House of Representatives. Members shall

serve without pay but shall be entitled to reimbursement for their expenses in carrying out their duties as provided in s. 112.061. Public officer members shall be reimbursed through the budget entity through which they are compensated.

(5) The board shall:

(a) Recommend qualifications for those providing authorized state-funded due process services, including qualifications for state-funded court reporters, interpreters, and private court-appointed counsel, in addition to those set forth in s. 27.40. At a minimum, the board shall incorporate into the eligibility and performance standards for court-appointed counsel requirements relating to length of membership in The Florida Bar, continuing legal education, and relevant trial experience. At a minimum, the experience standards for criminal cases must require participation in three criminal trials for an attorney to be eligible for a third-degree felony case and five criminal trials to be eligible for a case involving a felony of the second degree or a higher degree.

(b) Recommend any needed adjustments to existing compensation standards for private court-appointed counsel and other providers of due process services pursuant to s. 27.5304.

(c) Identify due process services for indigents that should be included on the state contract and bid competitively on a circuit, region, or statewide basis.

(d) Recommend statewide contracting standards for procurement of state-funded due process services and developing uniform contract forms for use in procuring services.

(e) Advise the Legislature on strategies and policies to contain costs.

(f) Recommend uniform standards to be applied by the public defender and the court in determining whether or not there is a conflict of interest pursuant to s. 27.5303.

(6) To aid in the transition to full implementation of Revision 7 to Article V, the board shall issue its initial recommendations by November 1, 2003. Thereafter, the board shall issue any additional recommendations or revisions thereto by September 1 of each year.

(7) In preparing budgets and entering into contractual arrangements for the procurement of state-funded due process services for fiscal year 2004-2005, the Chief Justice and the circuit Article V indigent services committees are authorized and encouraged to consider the advice and recommendations of the board.

(8) The Justice Administrative Commission shall provide staff support to the board.

History.--s. 48, ch. 2003-402.

29.015 Contingency fund; limitation of authority to transfer funds in contracted due process services appropriation categories.--

(1) An appropriation may be provided in the General Appropriations Act in the Justice Administrative Commission to serve as a contingency fund for the purpose of alleviating deficits in contracted due process services appropriation categories, including private court-appointed counsel appropriation categories, that may occur from time to time due to extraordinary events that lead to unexpected expenditures.

(2) In the event that a state attorney or public defender incurs a deficit in a contracted due process services appropriation category, the following steps shall be taken in order:

(a) The state attorney or public defender shall first attempt to identify surplus funds from other appropriation categories within his or her office and submit a budget amendment pursuant to chapter 216 to transfer funds from within the office.

(b) In the event that the state attorney or public defender is unable to identify surplus funds from within his or her office, he or she shall certify this to the Justice Administrative Commission along with a complete explanation of the circumstances which led to the deficit and steps the office has taken to reduce or alleviate the deficit. The Justice Administrative Commission shall inquire as to whether any other office has surplus funds in its contracted due process services appropriation categories which can be transferred to the office that is experiencing the deficit. If other offices indicate that surplus funds are available, the Justice Administrative Commission shall request a budget amendment to transfer funds from the office or offices to alleviate the deficit upon agreement of the contributing office or offices.

(c) If no office indicates that surplus funds are available to alleviate the deficit, the Justice Administrative Commission may request a budget amendment to transfer funds from the contingency fund. Such transfers shall be in accordance with all applicable provisions of chapter 216 and shall be subject to review and approval by the Legislative Budget Commission. The Justice Administrative Commission shall submit the documentation provided by the office explaining the circumstances that led to the deficit and the steps taken by the office and the Justice Administrative Commission to identify surplus funds to the Legislative Budget Commission.

(3) In the event that there is a deficit in a statewide contracted due process services appropriation category provided for private court-appointed counsel necessary due to withdrawal of the public defender due to an ethical conflict, the following steps shall be taken in order:

(a) The Justice Administrative Commission shall first attempt to identify surplus funds from other contracted due process services appropriation categories within the Justice Administrative Commission and submit a budget amendment pursuant to chapter 216 to transfer funds from within the commission.

(b) In the event that the Justice Administrative Commission is unable to identify surplus funds from within the commission, the commission shall inquire of each of the public defenders as to whether any office has surplus funds in its contracted due process services

appropriations categories which can be transferred. If any public defender office or offices indicate that surplus funds are available, the Justice Administrative Commission shall request a budget amendment to transfer funds from the office or offices to alleviate the deficit upon agreement of the contributing office or offices.

(c) If no public defender office has surplus funds available to alleviate the deficit, the Justice Administrative Commission may request a budget amendment to transfer funds from the contingency fund. Such transfers shall be in accordance with all applicable provisions of chapter 216 and shall be subject to review and approval by the Legislative Budget Commission. The Justice Administrative Commission shall submit the documentation provided by the office explaining the circumstances that led to the deficit and the steps taken by the Justice Administrative Commission to identify surplus funds to the Legislative Budget Commission.

(4) In the event that there is a deficit in a statewide appropriation category provided for private court-appointed counsel other than for conflict counsel as described in subsection (3), the following steps shall be taken in order:

(a) The Justice Administrative Commission shall first attempt to identify surplus funds from other contracted due process services appropriation categories within the Justice Administrative Commission and submit a budget amendment pursuant to chapter 216 to transfer funds from within the commission.

(b) In the event that the Justice Administrative Commission is unable to identify surplus funds from within the commission, the commission may submit a budget amendment to transfer funds from the contingency fund. Such transfers shall be in accordance with all applicable provisions of chapter 216 and shall be subject to review and approval by the Legislative Budget Commission. The Justice Administrative Commission shall submit documentation explaining the circumstances that led to the deficit and the steps taken to identify surplus funds to the Legislative Budget Commission.

(5) Notwithstanding any provisions in chapter 216 to the contrary, no office shall transfer funds from a contracted due process services appropriation category or from a contingency fund category authorized in this section except as specifically authorized in this section. In addition, funds shall not be transferred from a state attorney office to alleviate a deficit in a public defender office and funds shall not be transferred from a public defender office to alleviate a deficit in a state attorney office.

History.--s. 49, ch. 2003-402.

29.016 Contingency fund; judicial branch.--

(1) An appropriation may be provided in the General Appropriations Act for the judicial branch to serve as a contingency fund to alleviate deficits in contracted due process services appropriation categories that may occur from time to time due to extraordinary events that lead to unexpected expenditures.

(2) In the event that a chief judge incurs such a deficit, the following steps shall be taken in order:

(a) The chief judge shall attempt to identify surplus funds from other appropriation categories within his or her circuit and submit a request to the Chief Justice for a budget amendment pursuant to chapter 216 to transfer funds from within the circuit budget.

(b) In the event that the chief judge is unable to identify surplus funds from within his or her circuit, he or she shall certify this to the Office of the State Courts Administrator along with a complete explanation of the circumstances which led to the deficit and steps taken to reduce or alleviate the deficit. The Office of the State Courts Administrator shall inquire as to whether any other circuit has surplus funds in its contracted due process service appropriation categories which can be transferred to the circuit that is experiencing the deficit. If other circuits indicate that surplus funds are available, the Office of the State Courts Administrator shall notify the Trial Court Budget Commission established within the judicial branch by Rule of Judicial Administration. The Trial Court Budget Commission shall make recommendations to the Chief Justice to alleviate the deficit. The Chief Justice may authorize a transfer of funds among circuits to alleviate the deficit.

(3) If no other circuits indicate that surplus funds are available to alleviate the deficit, the Trial Court Budget Commission may request the Chief Justice to request a budget amendment to transfer funds from the contingency fund. Such transfers shall be requested subject to the notice and review requirements set forth in s. 216.177. The Office of the State Courts Administrator shall include in the budget amendment documentation provided by the chief judge explaining the circumstances that led to the deficit and the steps taken to identify surplus funds to alleviate the deficit.

(4) Notwithstanding any provisions in chapter 216 to the contrary, no circuit shall transfer funds from a contracted due process services appropriation category or from a contingency fund category authorized in this section except as specifically authorized in this section.

History.--s. 50, ch. 2003-402; s. 30, ch. 2004-265.

29.017 Pending proceedings; applicability of ch. 2003-402.--For the purpose of implementing s. 14, Art. V of the State Constitution, the transfer of the funding responsibility for the state courts system shall not affect the validity of any judicial or administrative proceeding pending on the day of the transfer. The entity providing appropriations on and after July 1, 2004, shall be considered the successor in interest to any existing contracts ratified by the successor entity, but is not responsible for funding or payment of any service rendered or provided, in whole or in part, prior to July 1, 2004.

History.--s. 146, ch. 2003-402.

29.018 Cost sharing of due process costs; legislative intent.--It is the intent of the Legislature to provide state-funded due process services to the state courts system, state

attorneys, public defenders, and court-appointed counsel in the most cost-effective and efficient manner. The state courts system, state attorneys, public defenders, and court-appointed counsel may enter into contractual agreements to share, on a pro rata basis, the costs associated with court reporting services, court interpreter and translation services, court experts, and all other due process services funded by the state pursuant to this chapter. These costs shall be budgeted within the funds appropriated to each of the affected users of services.

History.--s. 95, ch. 2004-265.

29.019 Billings rendered for pre-July 1, 2004, services.--Billings submitted for payment of due process services, including, but not limited to, court reporter services, court interpreter services, expert witness services, mental health evaluations, and court-appointed counsel services must be paid by the counties if the services were rendered before July 1, 2004. Counties must also pay for the entire cost of any flat-fee-per-case payment pursuant to a contract or professional services agreement with court-appointed counsel for appointments made before July 1, 2004, regardless of whether work on the case is actually concluded prior to July 1, 2004. Except for flat-fee contracts with court-appointed counsel, billings for services on any case that commenced prior to July 1, 2004, but continues past July 1, 2004, must be submitted with an itemized listing of payment due for services rendered before July 1, 2004, and on or after July 1, 2004. The county shall pay the portion of the bill for services rendered before July 1, 2004, and provide a copy of the itemized bill to the Justice Administrative Commission or the Office of the State Courts Administrator as appropriate for payment of the portion of the bill for services provided on or after July 1, 2004.

History.--s. 97, ch. 2004-265.

29.21 Department of Management Services to provide assistance in procuring services.--In accordance with s. 287.042, the ¹Department of Management Services may assist the Office of the State Courts Administrator and the Justice Administrative Commission with competitive solicitations for the procurement of state-funded services under this chapter. This may include assistance in the development and review of proposals in compliance with chapter 287, and rules adopted under that chapter.

History.--s. 99, ch. 2004-265.

¹**Note.**--"Department of Management Services" was substituted for the word "department" by the editors to improve clarity and facilitate correct interpretation. The language of this section is derived from subsection (2) of s. 99, ch. 2004-265. Subsection (1) of s. 99, ch. 2004-265, provides for certain time-limited duties of the Department of Management Services.

Appendix – B

Governance Motions

State Level Governance

Organization

Membership

Motion A – (Based on a synopsis of Motions 3 through 9 from the 8-19-2005 Board Meeting) That the Statewide Board membership be comprised of eleven (11) members as follows:

- 1 Clerk representative – Appointed by Florida Association of Clerks and Comptroller
- 2 Court representative – Appointed by Chief Justice of the Supreme Court
- 3 State Attorney representative – Appointed by Florida Prosecuting Attorney’s Association
- 4 Public Defender representative – Appointed by Florida Public Defender’s Association
- 5 County representative – Appointed by Florida Association of Counties
- 6 Representative – Appointed by the Speaker of the House of Representatives
- 7 Representative – Appointed by the President of the Senate
- 8 Sheriff – Appointed by Florida Sheriff’s Association
- 9 Representative – Appointed by the Governor
- 10 Representative – Appointed by Florida Bar
- 11 Representative – Appointed by Criminal and Juvenile Justice Information Systems Council

Motion B – (Based on Motion 12 from the 8-19-2005 Board Meeting) The Statewide Board Chairperson be appointed by the Chief Justice of Florida.

Members Term of Service

Motion C – (Based on Motion 10 from the 8-19-2005 Board Meeting) The Statewide Board members terms of service are:

- (1) three (3) years
- (2) with no term limits
- (3) initial appointees will serve staggered terms of one (1), two (2), and three (3) years.

Motion D – (Based on Motion 11 from the 8-19-2005 Board Meeting) The Statewide Board member’s initial terms of service are:

- 1 Year – Representative appointed by FPAA
- 1 Year – Representative appointed by the Speaker of the House of Representatives
- 1 Year – Representative appointed by the President of the Senate
- 1 Year – Representative appointed by the Governor

- 2 Years – Representative appointed by Chief Justice of Florida
- 2 Years – Representative appointed by FACC
- 2 Years – Representative appointed by FAC
- 2 Years – Representative appointed by FSA
- 3 Years – Representative appointed by FPDA
- 3 Years – Representative appointed by Florida Bar
- 3 Years – Representative appointed by CJJIS Council

State Level Structure

Motion E – (Based on Motion 2 from the 8-19-2005 Board Meeting) The Article V Technology Board make a recommendation to the Legislature that permanent Statewide Governance and Judicial Circuit Governance Boards be established to continue the work begun by the Article V Technology Board.

Motion F – (Based on Motion 21 from the 8-19-2005 Board Meeting) The Chair of the Statewide Board and the Chairs of the 20 Judicial Circuit Governance Boards have the authority to appoint Subcommittees and Work Groups as needed to support the efforts of their respective Boards.

State Level Staffing

Motion G – (Based on Motion 2 from the 11-21-2005 Board Meeting) The Board recommends that in addition to the current three staffing positions, an additional five be created, for a total of eight staff members.

These 8 would include:

- | | |
|---|-----------------------------------|
| • Staff Director | (Director) |
| • Information Systems Project Administrator | (Senior Legislative Analyst) |
| • Administrative Assistant | (Senior Administrative Assistant) |
| • Infrastructure and Network staff person | (Information Systems Architect) |
| • CCDE and Data Dictionary staff person | (Information Systems Architect) |
| • Security and Access staff person | (Information Systems Architect) |
| • Circuit Level Board Coordination staff person | (Program Specialist) |
| • JIEM and GJXML staff person | (Information Systems Architect) |

The Board moved that the current Article V Technology Board staff create job descriptions for the additional staff persons.

Meetings

Motion H – (Based on Motion 2 from the 8-19-2005 Board Meeting) The Statewide Board conduct regularly scheduled Quarterly meetings. Additional meetings may be scheduled at the call of the Chair.

Oversight & Reporting Responsibilities

Motion I – (Based on Motion 15 from the 8-19-2005 Board Meeting) The Statewide Board provide an Annual Report to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives.

Motion J – (Based on Motion 16 from the 8-19-2005 Board Meeting) That the Annual Report provided to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives by the Statewide Board include:

(1) A Strategic Plan, continually maintained and updated including:

- Judicial Circuit Governance Board compliance with the strategic plan
- Details of Judicial Circuit Governance Board monitoring efforts by the Statewide Board
- Progress of Judicial Circuit Governance Board integration efforts
- Obstacles to the success of the Strategic Plan

(2) Fiscal Year Funding Recommendation

(3) Expenditure reports

As revised at the 1-06-06 Board Meeting

~~(4) Provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board.~~

Motion K – (Based on Motion 3 from the 9-23-05 Board Meeting) The annual report be due on August 15th of each year.

Motion L – (Based on Motion 4 from the 9-23-05 Board Meeting) To add the following language to **Motion J above** the Strategic plan should include:

- (1) Compliance with Governance Board standards and policies relating to Access to Data
- (2) Compliance with Governance Board standards and policies relating to Data
- (3) Compliance with Governance Board standards and policies relating to Hardware
- (4) Compliance with Governance Board standards and policies relating to Communication
- (5) Compliance with Governance Board standards and policies relating to Security
- (6) Compliance with Governance Board standards and policies relating to Information Technology Project Management
- (7) Compliance with Governance Board standards and policies relating to Information Technology Governance

Operations

State Level Responsibilities

Motion I – (Based on Motion 15 from the 8-19-2005 Board Meeting) The Statewide Board provide an Annual Report to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives.

Motion J – (Based on Motion 16 from the 8-19-2005 Board Meeting) That the Annual Report provided to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives by the Statewide Board include:

- (1) A Strategic Plan, continually maintained and updated including:
 - Judicial Circuit Governance Board compliance with the strategic plan
 - Details of Judicial Circuit Governance Board monitoring efforts by the Statewide Board
 - Progress of Judicial Circuit Governance Board integration efforts
 - Obstacles to the success of the Strategic Plan

(2) Fiscal Year Funding Recommendation

(3) Expenditure reports

As revised at the 1-06-06 Board Meeting

~~(4) Consider recommendation to provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board~~

Motion K – (Based on Motion 3 from the 9-23-05 Board Meeting) The annual report be due on August 15th of each year.

Motion L – (Based on Motion 4 from the 9-23-05 Board Meeting) To add the following language to **Motion J above** the Strategic plan should include:

- (1) Compliance with Governance Board standards and policies relating to Access to Data
- (2) Compliance with Governance Board standards and policies relating to Data
- (3) Compliance with Governance Board standards and policies relating to Hardware
- (4) Compliance with Governance Board standards and policies relating to Communication
- (5) Compliance with Governance Board standards and policies relating to Security
- (6) Compliance with Governance Board standards and policies relating to information technology project management
- (7) Compliance with Governance Board standards and policies relating to information technology governance

Motion M – (Based on Motion 6 from the 9-23-05 Board Meeting) Add “Consider recommendation to provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board” as a 4th bullet (motion J above).

Motion N – (Based on Motion 7 from the 9-23-05 Board Meeting) The primary responsibility of the Statewide Circuit Governance Board is to work to ensure the integration of data across state court system entities.

Policies and Standards

Motion J – (Based on Motion 16 from the 8-19-2005 Board Meeting) The Annual Report provided to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives by the Statewide Board includes:

- (1) A Strategic Plan, continually maintained and updated including:
 - Judicial Circuit Governance Board compliance with the Strategic Plan
 - Details of Judicial Circuit Governance Board monitoring efforts by the Statewide Board
 - Progress of Judicial Circuit Governance Board integration efforts
 - Obstacles to the success of the Strategic Plan

(2) Fiscal Year Funding Recommendation

(3) Expenditure reports

As revised at the 1-06-06 Board Meeting

~~(4) Provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board~~

Motion O – (Based on Motion 8 from the 9-23-05 Board Meeting) The Statewide Governance Board has the authority to set standards and policies relating to:

- access to data
- data
- hardware
- communication
- security
- information technology project management
- information technology governance.

Circuit Oversight Responsibilities

Motion P – (Based on Motion 9 from the 9-23-05 Board Meeting) The Statewide Governance Board will have oversight and compliance monitoring responsibility over the local boards.

Funding Supervision – Circuit Integration

Motion Q – (Based on Motion 5 from the 11-21-05 Board Meeting) ~~Once the strategic plan standards are adopted, the State Level Governance Board should have funding oversight for all state provided funds and that these funds may not be used to “make substantial enhancements to” or “replace outdated or obsolete systems” or “purchase new systems” unless those systems are in compliance with the Governance Board policies, standards, and the strategic plan.~~

(As revised at the 1-06-06 Board Meeting) Once the strategic plan standards are adopted, the State Level Governance Board should have funding oversight for all new state provided funds and those funds may not be used to “make substantial enhancements to” or “replace outdated or

obsolete systems” or “purchase new systems” unless those systems are in compliance with the Governance Board policies, standards, and the strategic plan.

Circuit Project Supervision

Motion R – (Based on Motion J from the 9-23-05 Board Meeting) ~~The Statewide Governance Board shall have authority to set information technology project management and information technology governance standards.~~

(As revised at the 1-06-06 Board Meeting) The Statewide Governance Board shall have authority to set Information Technology Project Management and Information Technology Governance standards. Consider recommendations to provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board.

Circuit Level Governance

Organization

Membership and Terms of Service

Motion S – (Based on Motion 17, 18, 19, 22, 23, and 24 from the 8-19-2005 Board Meeting) ~~The Judicial Circuit Governance Board membership are comprised of the following representatives with these specific initial terms of office:~~

- ~~Chief Judge – Initial term of 2 years~~
- ~~Public Defender – Initial term of 3 years~~
- ~~State Attorney – Initial term of 3 years~~
- ~~Florida Bar representative, member in good standing, appointed by the Chief Judge~~
- ~~Sheriff – Initial term of 2 years~~
- ~~Clerk – Initial term of 2 years~~
- ~~County representative – Initial term of 1 year~~

(As revised at the 1-06-06 Board Meeting) The Judicial Circuit Governance Board membership are comprised of the following representatives with these specific initial terms of office:

- Chief Judge – Initial term of 2 years
- Public Defender– Initial term of 3 years
- State Attorney– Initial term of 3 years
- Florida Bar representative, member in good standing, appointed by the Chief Judge – **Initial term of 2 years**
- Sheriff – Initial term of 2 years
- Clerk – Initial term of 2 years
- County representative– Initial term of 1 year

Each elected official (State Attorney, Public Defender, Chief Judge, Sheriff, and Clerk) would serve only while in office, appointed officials such as the County representative would serve while employed by the County. The terms of office are staggered 3 year terms, with no term limits.

The Judicial Circuit Governance Board membership for Sheriff and Clerk's representative be:

- County representative - Will be selected by the Chairs of the Boards of County Commissioners from all counties in the Circuit.
- Sheriff representative - That this representatives must hold the office of elected Sheriff and will be selected by the hairs of the Boards of County Commissioners from all counties in the Circuit, and will serve initial terms of two (2) years, and 3 years thereafter.
- That this representative must hold the office of elected Clerk and will be selected by the Chairs of the Boards of County Commissioners from all counties in the Circuit, and will serve initial terms of two (2) years, and 3 years thereafter.
- There will be no term limits.
- Proxy votes are not allowed for members of the Judicial Circuit Governance Board.
- The Judicial Circuit Governance Board members will elect the Chair of the Board.

If the counties within a multi-county circuit cannot make a decision regarding who the county representative to the Circuit Governance Board will be, the Article V Technology Statewide Governance Board will make the decision.

The Legislature determines the rules of order under which the Board(s) will operate (Mason's, Robert's, etc.)

Motion T – (Based on Motion 3 from the 12-16-05 Board Meeting) If the counties within a multi-county circuit cannot make a decision regarding who the county representative to the Circuit Governance Board will be, the Article V Technology Statewide Governance Board will make the decision.

Motion U – (Based on Motion 11 from the 9-23-05 Board Meeting) The Judicial Circuit Governance Board Chairman term of service will be two years.

Motion V – (Based on Motion 12 from the 9-23-05 Board Meeting) The Judicial Circuit Governance Board will elect a vice-Chair.

Circuit Level Structure

Motion W (same as Motion E above)– (Based on Motion 2 from the 8-19-2005 Board Meeting) The Article V Technology Board make recommendation to the Legislature that permanent Statewide Governance and Judicial Circuit Governance Boards be established to continue the work begun by the Article V Technology Board.

Motion X – (Based on Motion 20 from the 8-19-2005 Board Meeting) The Judicial Circuit Governance Board membership has the individual authority to designate an alternate to serve in their place as long as that alternate is appointed to serve the full term of the member designating that alternate.

Motion Y – (Based on Motion 21 from the 8-19-2005 Board Meeting) The Chair of the Statewide Board and the Chairs of the 20 Judicial Circuit Governance Boards has the authority to appoint Subcommittees and Work Groups as needed to support the efforts of their respective Boards.

Circuit Level Staffing

Motion Z – (Based on Motion 13 from the 9-23-05 Board Meeting) ~~The Judicial Circuit Governance Board staffing be at the local level and be employed by the local board and funded through the local funding mechanism.~~

(As revised at the 1-06-06 Board Meeting) The Judicial Circuit Governance Board staffing is at the local level, if needed, employed at the discretion of the local board and funded through the local funding mechanism.

Motion AA – (Based on Motion 3 from the 11-21-05 Board Meeting) Whoever serves as the chair at the circuit level will take care of noticing requirements, recording minutes, and other necessary tasks at the circuit level meetings.

Meetings

Motion BB – (Based on Motion 14 from the 9-23-05 Board Meeting) ~~The Judicial Circuit Governance Board will meet quarterly and not less than quarterly.~~

(As revised at the 1-06-06 Board Meeting) The Judicial Circuit Governance Board will meet quarterly and not less than quarterly or at the call of the chairperson.

Oversight & Reporting Responsibilities

Motion J – (Based on Motion 16 from the 8-19-2005 Board Meeting) The Annual Report provided to the Governor, Chief Justice of Florida, President of the Senate, and Speaker of the House of Representatives by the Statewide Board include:

- (1) A Strategic Plan, continually maintained and updated including:
 - Judicial Circuit Governance Board compliance with the Strategic Plan
 - Details of Judicial Circuit Governance Board monitoring efforts by the Statewide Board
 - Progress of Judicial Circuit Governance Board integration efforts
 - Obstacles to the success of the Strategic Plan
- (2) Fiscal Year Funding Recommendation

(3) Expenditure reports

As revised at the 1-06-06 Board Meeting:

~~(4) Provide the Board or their designee, the authority to negotiate and sign contracts on behalf of the Board.~~

Circuit Level Funding

Motion CC – (Based on Motion 1 from the 10-21-05 Board meeting) The \$2 filing fee would be administered on a circuit level by a joint committee comprised of the State Attorney, Public Defender and Chief Judge. The meetings are governed by Chapter 119, F.S. The intent of this motion is to provide direction as to the administration of the \$2 fee and is not meant to imply that the Counties will not be able to use the \$2 fee for their statutory obligations.

Operations

Circuit Level Responsibilities

Motion DD – (Based on Motion 15 from the 9-23-05 Board Meeting) The primary responsibility of the Judicial Circuit Governance Board is to work to ensure the integration of data across state court system entities.

Motion EE – (Based on Motion 16 from the 9-23-05 Board Meeting) ~~The Judicial Circuit Governance Board will have the same responsibilities as the Statewide Governance Board. The Judicial Circuit Governance Board will report directly to the Statewide Governance Board.~~

(As revised at the 1-06-06 Board Meeting) The Judicial Circuit Governance Board will have the same responsibilities as the Statewide Governance Board. Any policies and standards that the Judicial Governance Board sets shall be approved by the Statewide Governance Board.

Funding Supervision – County Integration

Motion FF – (Based on Motion 4 from the 11-21-05 Board Meeting) The State of Florida should fully fund all components of the state wide integrated court information system.

Appendix – C

Permanent Governance Structure

Position Descriptions
and

Estimated FY 2006-2007 Budget

In compliance with 29.0086, F.S., the Article V Technology Board has made recommendations for a permanent operational governance structure, including staff positions and FY 2006-2007 budget projections.

The following staff positions (approved by the Article V Technology Board) were developed in consultation with Paul Nichols, Director, Human Resources, Office of Legislative Services. The FY 2006-2007 budget projections (approved by the Article V Technology Board) were developed in consultation with Cindy Milner, Staff Director for Budgets, Office of Legislative Services.

DIRECTOR
Class Code 0063

GENERAL SUMMARY

This is work serving as the supervisor of the staff under the jurisdiction of the council. An employee in a position allocated to this class is responsible for coordinating the overall direction of council staff in long-range research planning. Work is performed under the direction of the Council Chair.

EXAMPLES OF WORK PERFORMED

Plans, organizes, and directs the implementation of all administrative and personnel activities for the Council.

Provide direct support for the Chair and consult with and provide coordination of all Council activities.

Act as liaison to all Council Members.

Coordinate the facilitation of all Subcommittees, and coordinate the efforts of all work groups.

Direct all staff priorities, workload, and activities.

Review all work progress prior to release to Subcommittees, Work Groups, and the Council.

Review all final reports, legislation, and correspondence prior to release.

Chair special Task Forces, UPI Task Force (for example).

(continued on back)

Makes assignments of bills to be reviewed or researched by staff.
Reviews and/or prepares correspondence to address member, constituent, agency, or other questions regarding research performed by the council.
Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Demonstrate specific knowledge and skills in the information technology profession that includes a National, State, and Local perspective regarding Integrated Justice Information Systems.

Knowledge of the legislative process, bill and amendment drafting.

Knowledge of Florida state government and its structure including agency role in the Legislative process.

Knowledge of appropriations, strategic planning process, and performance based budgeting principles.

Knowledge of issues or subject areas under committee jurisdiction.

Ability to apply prescribed principles to proposed legislation.

Ability to communicate effectively and clearly.

Ability to analyze prepared reports.

Ability to work in a coordinated team environment.

Ability to keep information confidential.

Ability to coordinate staff responsibilities.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university and nine years of professional administrative, research, policy analysis, or program planning and evaluation experience.

Four years of this experience must have been in an administrative/supervisory capacity for a legislative committee, executive, or judicial branch of state government or for similar organizations at the Staff Director level or above.

A master's degree from an accredited college or university can substitute for one year of the required experience. A doctorate from an accredited college or university can substitute for two years of the required experience.

Professional experience as described above can substitute on a year-for-year basis for the required college education.

Four years of experience in information technology that includes a National, State, and Local perspective regarding Integrated Justice Information Systems.

INFORMATION SYSTEMS ARCHITECT

Class Code: 0064

GENERAL SUMMARY

This work is senior level advanced, involving the engineering of information systems. An employee in a position allocated to this class will typically be a technical or subject matter expert whose responsibilities span all levels of government. This classification will provide technical or subject matter expertise in particularly complex disciplines associated with hardware and software configurations relating to personal computers, networking, and host systems. Positions allocated to this class perform work characterized by originating techniques, formulating concepts and procedures, directing and/or planning operations and developing solutions to unique issues.

EXAMPLES OF WORK PERFORMED

Consult with and provide senior level expertise and coordination on Global Justice Extensible Markup Language (GJXML), Global Justice Extensible Markup Language Data Model (GJXMLDM), and Legal Extensible Markup Language (LegalXML) and related technologies.

Consult with and provide senior level expertise and coordination on data exchange modeling and documentation methodologies.

Develops, coordinates, and administers training on Justice Information Exchange Modeling (JIEM) toolset and related technologies.

Coordinate the preparation of reports, legislation, and correspondence.

Reviews and prepares project status reports.

Serves as information technology consultant or technical advisor to management or customers.

Maintains awareness of new developments in information technology.

Provides technical briefings on advanced technology.

Reviews and prepares project status reports.

Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Displays an in-depth knowledge of business processes and information systems within the state court system entities and related organizations.

Knowledge of the principles, practices and techniques of business process analysis and documentation.

Knowledge of the principles, practices, and techniques within the disciplines of integrated data exchange using XML.

Ability to provide technical assistance in the areas of business process analysis.

Ability to facilitate meetings, prepare/conduct training classes and prepare/deliver oral and written presentations.

Maintains proficiency and certification in the Justice Information Exchange Modeling (JIEM) product.

Knowledge of the concepts and theories of information systems.

Knowledge of the principles, practices, and techniques of computer technology.

(continued on back)

Knowledge of governmental procedures, legislative rules, and procedures.
Skill in analysis and organization.
Ability to analyze and interpret technical data.
Ability to communicate technical information verbally and in writing.
Ability to establish and maintain effective working relationships with others.
Ability to understand and apply rules, regulations, policies, and procedures.
Ability to be resourceful and act independently with project assignments.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university in computer science, management information systems, business administration, education, communications, graphic arts, mathematics, statistics, geography, or engineering and ten years of progressively responsible information systems experience.

Progressively responsible information systems experience can substitute on a year-for-year basis for the required college education.

Any combination of progressively responsible information systems experience and post secondary training in disciplines as described above totaling fourteen years.

INFORMATION SYSTEMS ARCHITECT

Class Code: 0064

GENERAL SUMMARY

This work is senior level advanced, involving the engineering of information systems. An employee in a position allocated to this class will typically be a technical or subject matter expert whose responsibilities span all levels of government. This classification will provide technical or subject matter expertise in particularly complex disciplines associated with hardware and software configurations relating to personal computers, networking, and host systems. Positions allocated to this class perform work characterized by originating techniques, formulating concepts and procedures, directing and/or planning operations and developing solutions to unique issues.

EXAMPLES OF WORK PERFORMED

Consult with and provide senior level expertise and coordination of Data Dictionary Subcommittee activities.

Consult with and provide senior level expertise and coordination of Data Dictionary Work Group activities.

Advise Subcommittee and Work Group regarding policies and standards for this area.

Act as liaison to all Work Group Members.

Serve as technology consultant and technical advisor in the disciplines of database design, analysis, and maintenance.

Coordinate the preparation of reports, legislation, and correspondence.

Reviews and prepares project status reports.

Maintain the Catalog of Common Data Elements (CCDE).

Facilitate and coordinate the activities associated with the development and implementation of a Unified Florida Statutes Table.

Serves as information technology consultant or technical advisor to management or customers.

Maintains awareness of new developments in information technology.

Provides technical briefings on advanced technology.

Reviews and prepares project status reports.

Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Displays an in-depth knowledge of business processes and information systems within the state court system entities and related organizations.

Knowledge of the principles, practices and techniques of business process analysis and documentation.

Knowledge of the principles, practices, and techniques within the disciplines of database design, analysis, and maintenance.

Ability to provide technical assistance in the areas of business process analysis.

Ability to facilitate meetings and prepare/deliver oral and written presentations.

Knowledge of the concepts and theories of information systems.

Knowledge of the principles, practices, and techniques of computer technology.

(continued on back)

Knowledge of governmental procedures, legislative rules, and procedures.
Skill in analysis and organization.
Ability to analyze and interpret technical data.
Ability to communicate technical information verbally and in writing.
Ability to establish and maintain effective working relationships with others.
Ability to understand and apply rules, regulations, policies, and procedures.
Ability to be resourceful and act independently with project assignments.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university in computer science, management information systems, business administration, education, communications, graphic arts, mathematics, statistics, geography, or engineering and ten years of progressively responsible information systems experience.

Progressively responsible information systems experience can substitute on a year-for-year basis for the required college education.

Any combination of progressively responsible information systems experience and post secondary training in disciplines as described above totaling fourteen years.

INFORMATION SYSTEMS ARCHITECT

Class Code: 0064

GENERAL SUMMARY

This work is senior level advanced, involving the engineering of information systems. An employee in a position allocated to this class will typically be a technical or subject matter expert whose responsibilities span all levels of government. This classification will provide technical or subject matter expertise in particularly complex disciplines associated with hardware and software configurations relating to personal computers, networking, and host systems. Positions allocated to this class perform work characterized by originating techniques, formulating concepts and procedures, directing and/or planning operations and developing solutions to unique issues.

EXAMPLES OF WORK PERFORMED

Consult with and provide senior level expertise and coordination of Infrastructure and Network Subcommittee activities.

Consult with and provide senior level expertise and coordination of Infrastructure and Network Work Group activities.

Advise Subcommittee and Work Group regarding policies and standards for this area.

Act as liaison to all Work Group Members.

Serves as technology consultant and technical advisor in the disciplines of computer networking and system/network infrastructure.

Coordinate the preparation of reports, legislation, and correspondence.

Reviews and prepares project status reports.

Serves as information technology consultant or technical advisor to management or customers.

Maintains awareness of new developments in information technology.

Provides technical briefings on advanced technology.

Reviews and prepares project status reports.

Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Displays an in-depth knowledge of business processes and information systems within the state court system entities and related organizations.

Knowledge of the principles, practices and techniques of business process analysis and documentation.

Knowledge of the principles, practices, and techniques within the disciplines of computer networking and network/system infrastructure.

Ability to provide technical assistance in the areas of business process analysis.

Ability to facilitate meetings and prepare/deliver oral and written presentations.

Knowledge of the concepts and theories of information systems.

Knowledge of the principles, practices, and techniques of computer technology.

Knowledge of governmental procedures, legislative rules, and procedures.

Skill in analysis and organization.

Ability to analyze and interpret technical data.

(continued on back)

Ability to communicate technical information verbally and in writing.
Ability to establish and maintain effective working relationships with others.
Ability to understand and apply rules, regulations, policies, and procedures.
Ability to be resourceful and act independently with project assignments.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university in computer science, management information systems, business administration, education, communications, graphic arts, mathematics, statistics, geography, or engineering and ten years of progressively responsible information systems experience.

Progressively responsible information systems experience can substitute on a year-for-year basis for the required college education.

Any combination of progressively responsible information systems experience and post secondary training in disciplines as described above totaling fourteen years.

INFORMATION SYSTEMS ARCHITECT

Class Code: 0064

GENERAL SUMMARY

This work is senior level advanced, involving the engineering of information systems. An employee in a position allocated to this class will typically be a technical or subject matter expert whose responsibilities span all levels of government. This classification will provide technical or subject matter expertise in particularly complex disciplines associated with hardware and software configurations relating to personal computers, networking, and host systems. Positions allocated to this class perform work characterized by originating techniques, formulating concepts and procedures, directing and/or planning operations and developing solutions to unique issues.

EXAMPLES OF WORK PERFORMED

Consult with and provide senior level expertise and coordination of Security and Access Subcommittee activities.

Consult with and provide senior level expertise and coordination of Security and Access Work Group activities.

Advise Subcommittee and Work Group regarding policies and standards for this area.

Act as liaison to all Work Group Members.

Serves as technology consultant and technical advisor in the discipline of security and access control for computer networks and systems.

Coordinate the preparation of reports, legislation, and correspondence.

Reviews and prepares project status reports.

Serves as information technology consultant or technical advisor to management or customers.

Maintains awareness of new developments in information technology.

Provides technical briefings on advanced technology.

Reviews and prepares project status reports.

Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Displays an in-depth knowledge of business processes and information systems within the state court system entities and related organizations.

Knowledge of the principles, practices and techniques of business process analysis and documentation.

Knowledge of the principles, practices, and techniques within the disciplines of security and access control for computer networks and systems.

Ability to provide technical assistance in the areas of business process analysis.

Ability to facilitate meetings and prepare/deliver oral and written presentations.

Knowledge of the concepts and theories of information systems.

Knowledge of the principles, practices, and techniques of computer technology.

Knowledge of governmental procedures, legislative rules, and procedures.

Skill in analysis and organization.

Ability to analyze and interpret technical data.

(continued on back)

Ability to communicate technical information verbally and in writing.
Ability to establish and maintain effective working relationships with others.
Ability to understand and apply rules, regulations, policies, and procedures.
Ability to be resourceful and act independently with project assignments.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university in computer science, management information systems, business administration, education, communications, graphic arts, mathematics, statistics, geography, or engineering and ten years of progressively responsible information systems experience.

Progressively responsible information systems experience can substitute on a year-for-year basis for the required college education.

Any combination of progressively responsible information systems experience and post secondary training in disciplines as described above totaling fourteen years.

SENIOR LEGISLATIVE ANALYST

Class Code: 0029

GENERAL SUMMARY

This is complex work functioning as a technical expert to a legislative committee, legislators, and the public on the subject matter under the jurisdiction of the committee. Under limited supervision of the staff director and committee members, the legislative analyst applies this expertise when researching and preparing staff analyses, reports, legislation, and amendments; responding to inquiries; and developing correspondence. An employee in a position allocated to this class performs all duties and responsibilities of the job at an advanced level. Work involves investigating new approaches, conducting studies of a theoretical nature, and analyzing and evaluating complex tangible data to determine trends or achieve specific objectives or goals on very complex projects.

EXAMPLES OF WORK PERFORMED

Research Federal grant opportunities. Write Federal grants.

Analyzes and objectively summarizes proposed legislation to determine its effectiveness and the impact of its passage on the Council and state court system entities.

Assists in planning Council meetings and with the preparation of materials for meetings.

Briefs the staff director, chairman, or other Council members verbally or in writing on issues to be discussed in committee, on the floor or with constituents.

Monitor and coordinate progress of legislation.

Monitor implementation of legislation in the Executive and Judicial Branches to ascertain that legislative intent is met.

Researches and drafts legislation and amendments to legislation at the direction of committee chairman, committee members, and other legislators.

Conceives, plans, and conducts research projects and performs legislatively mandated studies.

Prepares oral and written reports on research and committee work such as end of session committee reports, interim projects, and oversight reports which include recommendations for legislative action.

Provides information and problem-solving assistance to legislators, their constituents, and the public.

Prepares letters, summaries, talk-sheets or speeches, reports, and informational memoranda on committee issues at the request of the committee chairman, other legislators or staff director.

Keeps abreast of new and ongoing issues affecting assigned area of responsibility by collecting resource materials, attending workshops and conferences, reading industry publications, communicating with lobbyists and agency personnel, etc.

Assists in the coordination of the work of the Administrative Assistant, legislative intern, and other staff members.

Serves as liaison with State agencies.

May operate a computer to perform word processing, database management, and/or spreadsheet applications.

May supervise employees.

Performs other related duties as required.

(continued on back)

KNOWLEDGE, SKILLS AND ABILITIES

Knowledge of Federal Grant writing procedures.

Knowledge of legal terminology and legal research.

Knowledge of committee subject area.

Knowledge of applicable computer word processing, spreadsheet, and database programs.

Knowledge of Florida state government, legislative rules, and procedures.

Skill in reading comprehension, analysis, and organization.

Ability to research Federal Grant opportunities.

Ability to write Federal Grants.

Ability to communicate effectively and concisely, both orally and in writing.

Ability to take action in situations which lack clear direction.

Ability to take initiative on independent research projects.

Ability to produce quality work under pressure.

Ability to deal tactfully and courteously with the demands of members, their staff, the public, press, and lobbyists.

Ability to plan, organize, and coordinate work assignments.

Ability to work cooperatively as a team member and to contribute to the efficient internal functioning of the committee staff.

Ability to conduct in-depth, carefully documented and credible analysis under minimal supervision within established deadlines.

Ability to conduct meetings and to make presentations.

Ability to establish and maintain effective working relationships with others.

Ability to work independently.

Ability to collect and analyze data.

Ability to organize data into logical format for presentation in reports, documents, and other written materials.

Ability to solve problems and make decisions.

Ability to exercise discretion and confidentiality.

Ability to supervise people.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university and five years of professional experience in research, analysis, program planning and evaluation, or administrative work.

A master's degree from an accredited college or university can substitute for one year of the required experience. A doctorate from an accredited college or university can substitute for two years of the required experience. Professional experience as described above can substitute on a year-for-year basis for the required college education.

PROGRAM SPECIALIST

Class Code: 0031

GENERAL SUMMARY

This is professional work conducting and/or coordinating a management support function, or phases of a diversified program such as finance and accounting, budgeting, personnel, staff development or training, human resource, intern, purchasing, or other similar programs for the Florida Legislature.

EXAMPLES OF WORK PERFORMED

Provide policy and standards support for all 20 Judicial Circuit Governance Boards.

Coordinate the reporting activities of all 20 Judicial Circuit Governance Boards with the State Governance Board.

Act as liaison to all 20 Judicial Circuit Governance Board members.

Provides information and problem solving assistance to Judicial Circuit Governance Board members.

Analyze problems, research alternatives and advises State Governance Board members on issues relating to the standards/policies/procedures of the Judicial Circuit Governance Boards.

Coordinate the preparation of Judicial Circuit Governance Board's reports, Budgets and Strategic Plans.

Assists in formulating, interpreting, applying, and assuring conformance with administrative policies and procedures.

Provides information and problem-solving assistance to legislators, their constituents, and the public.

Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Knowledge of Florida's 20 circuits.

Knowledge of relevant computer programs.

Ability to determine work priorities, assign work, and ensure proper completion of work assignments.

Ability to communicate effectively verbally and in writing.

Ability to establish and maintain effective working relationships with others.

Ability to formulate policies and procedures.

Ability to understand and apply related rules, regulations, policies, and procedures.

Ability to work independently.

Ability to solve problems and make decisions.

Ability to use tact and exercise good judgment when interacting with members and staff of the Legislature, other agencies, and the public.

Ability to make presentations.

(continued on back)

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university with major coursework in accounting, business or public administration, or a related field and three years of professional experience in accounting, auditing, budgeting, personnel, human resource, staff development or training, purchasing, research, analysis, program planning and evaluation, or administrative work; or A master's degree from an accredited college or university in accounting or possession of a Certified Public Accountant (C.P.A.) Certificate; business or public administration; or a related field and two years of professional experience as described above. Professional experience as described above can substitute on a year-for-year basis for the required college education.

**SENIOR
ADMINISTRATIVE
ASSISTANT**

Class Code: 0012

GENERAL SUMMARY

This is independent work assisting division or comparable level management in the coordination of administrative tasks and assignments which are complex in nature and very broad in objective. Work involves the independent formulation, analysis, and recommendation of changes in policies, rules, and regulations.

EXAMPLES OF WORK PERFORMED

Handles complex projects and special assignments; performs research and report preparation.

Reviews records and reports which require action and recommends salutations for courses of action.

Prepares a variety of correspondence, investigates subject matter, and prepares replies.

Responsible for preparing notice, detailed agenda and other meeting materials, recording and reporting out meetings. Acts as office custodian of Council records.

All meeting coordination including videoconferencing.

Administer all maintenance on the Article V Technology Council web site.

Handles complex projects and special assignments; performs research and report preparation.

Reviews records and reports which require action and recommends solutions or courses of action.

Assists in formulating and recommending programs, rules, regulations, and policies of the organization, interprets, and administers policies as directed.

Processes a variety of correspondence, investigates subject matter, and prepares replies.

Supervises, reviews, and coordinates the work of clerical and/or administrative personnel to ensure accurate and smooth workflow of the unit.

Defines and investigate problems; formulates methods of resolution.

Assists supervisor in conducting daily administrative activities; acts in matters where authority has been delegated.

Represents supervisor at meetings and conferences as authorized.

Performs general office management duties.

Assists in planning full committee and/or subcommittee meetings and workshops.

Responsible for the preparation of graphic documents for reports, presentations, and correspondence.

Performs other related duties as required.

KNOWLEDGE, SKILLS AND ABILITIES

Knowledge of administrative principles and practices.

Knowledge of research techniques.

Knowledge of legislative and budget terminology.

Ability to pay attention to detail and review work for accuracy and quality of content.

Ability to work cooperatively as a team member and to contribute to the efficient internal functioning of the unit.

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Ability to collect, analyze, and interpret data.
Ability to plan, organize, and coordinate work assignments.
Ability to communicate effectively, verbally and in writing.
Ability to deal tactfully and courteously with the demands of the public.
Ability to handle confidential information.
Ability to understand and apply rules, regulations, policies, and procedures.
Ability to prepare reports, correspondence, and maintain records.
Ability to utilize problem-solving techniques.
Ability to train others.
Ability to supervise people.

MINIMUM QUALIFICATIONS

A bachelor's degree from an accredited college or university and three years of administrative experience. A master's degree from an accredited college or university can substitute for one year of the required experience. Administrative or staff experience can substitute on a year-for-year basis for the required college education.

Florida Legislature Article V Governance Board FY 2006-2007 Request Budget

(11-31-31-90-020)

Object Code	Job Class or Object	Name of Employee, Amount or Explanation	F.T.E.	Rate of Pay 7-1-2006	Estimate 2006-2007
<i>PERSONAL SERVICES</i>					
<i>Salaries & Related Benefits-Staff:</i>					
<i>Salaries:</i>					
	Council Director		1.000	0	0
	Information Systems Architect		1.000	0	0
	Information Systems Architect		1.000	0	0
	Information Systems Architect		1.000	0	0
	Information Systems Architect		1.000	0	0
	Senior Legislative Analyst		1.000	0	0
	Program Specialist		1.000	0	0
	Senior Administrative Assistant		1.000	0	0
		<i>Subtotal</i>	8.000	518,232	527,575
					9,927
					15,864
110020	<i>Total Salaries</i>				553,366
151020	Social Security-Staff	7.65%			42,333
152020	Retirement-Staff	7.83%			34,406
152020	Retirement-Sr. Management	10.45%			11,910
157020	Pretax Admin. Assessment-Staff				350
161020	Health Insurance-Staff			Family \$895.92 & Single \$396.16 per month	86,009
162020	Life Insurance-Staff	0.1477			1,968
163020	Disability Insurance-Staff	.24%			1,329
169520	Dental Insurance-Staff			Family \$80.28 & Single \$34.60 per month	7,707
					739,378
<i>Other Personal Services-Regular</i>					
121010	Lump Sum			50,000	
151025	Social Security	7.65%		3,825	
					53,825
<i>TOTAL PERSONAL SERVICES</i>					
					793,203

Florida Legislature Article V Governance Board FY 2006-2007 Request Budget

(11-31-31-90-020)

Object Code	Job Class or Object	Name of Employee, Amount or Explanation	F.T.E.	Rate of Pay 7-1-2006	Estimate 2006-2007
<i>EXPENSES</i>					
132720	Software Fees & Services	7,500			
139990	Other Contractual Services	75,000			
221010	Telephone-Local	7,500			
221020	Telephone-Long Distance	1,500			
225010	Postage & Mail Service	1,500			
227020	Freight	750			
230090	Other Printing & Reproduction	750			
241020	Equipment Maintenance	2,500			
261070	In-State Travel-General Staff	20,000			
261070	In-State Travel-Other	10,000			
261870	Travel - Staff Training	6,500			
262070	Out-of-State Travel-General Staff	15,000			
341010	Pamphlets & Paperback Books	300			
380010	Office Supplies	6,500			
391010	Copier, Printing & Data Processing Supplies	3,200			
399010	Paper-All Uses	1,500			
431010	Building Rent-Management Services	26,000			
442010	Equipment Rent-Copier	9,000			
499090	Other Current Charges	400			
511014	Books-Categ. 04	2,000			
516014	Data Processing Equipment-Category 04	9,000			
	<i>TOTAL EXPENSES</i>				<u>206,400</u>
	<i>TOTAL BUDGETED EXPENDITURES</i>				<u>999,603</u>

Appendix – D

Infinity Software, Inc. Report to the Article V Technology Board

Evaluation of JIS and CCIS Software



**Office of Legislative Services of the Florida Legislature
Article V Technology Board**

JIS AND CCIS SOFTWARE EVALUATION

Report to the Board

COMPILED BY	Infinity Software Development, Inc.
DATE CREATED	12/16/05
DISTRIBUTION LIST	Article V Technology Board – Confidential and Proprietary
FILE NAME	Report to the Board
DOCUMENT PURPOSE	The purpose of this document is to provide a full analysis of the JIS and CCIS systems in accordance with the Article V Technology Board's mandate per Florida Statute 29.0086.



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1. Introduction

1.1. Purpose

The purpose of the Article V Technology Board (the Board) Software Evaluation project is to provide an analysis of the Judicial Inquiry System (JIS) developed by the Office of the State Courts Administrator within the Supreme Court and the Comprehensive Case Information System (CCIS) developed by the Florida Association of Court Clerks and Comptroller, Inc. In accordance with Section 29.0086(5)(c)1, Florida Statutes, Infinity Software Development, Inc., Inc. (Infinity) will analyze and describe the specific policies, functionality, operations, fiscal means, and technical guidelines of each system. The knowledge gained from Infinity's final report will provide the Board with a clear picture of the advantages and disadvantages of the JIS and CCIS systems. As a result, this will ensure that any future recommendations by the Board will embrace the lessons learned from these development efforts.

1.2. Background

According to the Article V Technology Board website¹, the Article V Technology Board was created by the Florida Legislature in 2004 to address integration issues facing the state court system entities. The Board is specifically charged with identifying the minimum data elements, functional requirements, security and access requirements, standards and protocols for data integration, and finally recommending policy, functional, and operational changes needed to achieve necessary access to data.

Additionally, the Board will examine and recommend alternative integration models that maintain and leverage existing networks. Finally, the Board will propose an operational governance structure to achieve and maintain the necessary level of integration among system user at both the state and judicial circuit levels.

1.3. Project Scope

The scope of this project is predicated upon "Request for Proposal #823" as provided by the Office of Legislative Services of the Florida Legislature and the Article V Technology Board. This project is centered on the review and analysis of all facets of the design, development, implementation, maintenance, functionality, and administrative processes associated with the JIS and CCIS systems. Each system is to be assessed separately; both systems are currently considered necessary to meet the long term integration goals of the state of Florida². This review and analysis consists of the following components:

- Design and Development – A review of the processes used to design and develop JIS and CCIS.
- Functionality – A hands-on functional review of the systems in a setting that simulates the planned work environment.
- Implementation – A review of the implementation plans for these systems.
- Maintenance/Support – An analysis of the process used to maintain and support the currency of these systems.
- Operating Environment – A review of the host processing environment including all hardware, software, and connectivity.

¹ www.articlevtechboard.state.fl.us

² It is not in the scope of this report to directly compare or contrast JIS and CCIS with each other.

- Fiscal Process and Funding Sources – A fiscal analysis of the expenditures associated with planned enhancements, implementation, deployments, and maintenance of each system.
- System Security Model – An analysis of the security and access requirements needed to enable and maintain data integration or retrieval from an authentication and authorization perspective.
- Statewide Deployment Plan – A review and analysis of the required policy issues that will need to be addressed for continued development and statewide deployment of both systems.

1.4. Intended Audience and Reading Suggestions

The target audience of this document is the Article V Technology Board. Upon review and acceptance of this document, the Article V Technology Board will include it as an appendix to the Board's January 15, 2006, report to the Governor, the President of the Senate, the Speaker of the House of Representatives, and the Chief Justice of the Supreme Court. This document should provide the Article V Technology Board with an analysis of the specific plans and integration requirements related to JIS and CCIS.

The format of this report follows the topics outlined in the Project Scope. Each system is evaluated separately in its own Sections of the report. (JIS comprises Sections 2-10 and CCIS comprises Sections 11-19) Each report section is specific to a project scope topic. The subsections (within each section) provide specific information about the topic. The final subsection (within each section) provides Infinity's analysis of the topic. For example, Section 3 is titled 'JIS Design and Development.' This section provides information about the specific design and development processes used to create the JIS system. Each subsection (3.2-3.5) answers to a specific element relating to design and development. Subsection 3.6 provides Infinity's analysis of the design and development process utilized to create the JIS system.

1.5. References

Article V Technology Board – *Request for Proposal #823*
Article V Technology Board – *JIS and CCIS Software Evaluation Project Overview*
Article V Technology Board – *JAD Meeting Minutes*
Office of the State Courts Administrator – *Introduction Letter to Ms. Elisabeth Goodner*
Office of the State Courts Administrator – *Florida Statewide Judicial Inquiry System Brochure*
Office of the State Courts Administrator – *JIS Implementation Status*
Office of the State Courts Administrator – *JIS Statement of Work*
Office of the State Courts Administrator – *Florida Supreme Court and OSCA Invitation to Negotiate*
Office of the State Courts Administrator – *Jessica Lunsford Act Implementation Plan*
Office of the State Courts Administrator – *JIS User's Guide*
Office of the State Courts Administrator – *Florida Supreme Court Administrative Order #AOSCO3-16*
Office of the State Courts Administrator – *Florida Supreme Court Administrative Order #AOSCO3-35*
Office of the State Courts Administrator – *Florida Supreme Court Administrative Order #AOSCO4-85*
Office of the State Courts Administrator – *MOU between OSCA and DHSMV*
Office of the State Courts Administrator – *MOU between OSCA and DJJ*
Office of the State Courts Administrator – *Metatomix™ Case Study*
Office of the State Courts Administrator – *Process to Access JIS*
Office of the State Courts Administrator – *JIS User Access Agreement Form*
Office of the State Courts Administrator – *MOU between OSCA and FACC*



Office of the State Courts Administrator – *MOU between OSCA and FDLE*
Office of the State Courts Administrator – *Flexsafe Escrow Agreement*
Office of the State Courts Administrator – *Support and Maintenance Agreement*
Office of the State Courts Administrator – *CJIS Memorandum*
Office of the State Courts Administrator – *Issue Reporting Form*
Office of the State Courts Administrator – *System Rules by User Role spreadsheet*
Office of the State Courts Administrator – *Phase 2 Objectives spreadsheet*
Office of the State Courts Administrator – *JIS Test Plan (confidential) created by Metatomix™*
Office of the State Courts Administrator – *Functional Description document by Metatomix™*
Office of the State Courts Administrator – *Technical Specification document by Metatomix™*
Office of the State Courts Administrator – *Trial Courts Needs Assessment/Functional Requirements*
Office of the State Courts Administrator – *6/23/04 JAD session meeting notes (confidential)*
FACC – *Traffic Citation Payment System (brochure)*
FACC – *CCIS general information brochure*
FACC – *Paying Employee Child Support Just Became Easier (brochure)*
FACC – *Paying Your Child Support Just Became Easier (brochure)*
FACC – *MyFloridaCounty.com (general information flier)*
FACC – *FACC Technical Programs & Services (booklet)*
FACC – *CCIS general information booklet*
FACC – *CCIS White Paper (dated January 6, 2004)*
FACC – *Phase II System Design Document*
FACC – *CCIS Functionality for Phases I - III*
FACC – *CCIS Work Plan*
FACC – *CCIS Users Manual (version 2.4)*
FACC – *CCIS Project Documentation CD (dated September 21, 2005)*
FACC – *CCIS Security User Agreement/Application*
FACC – *Non-Disclosure Agreement*
CCIS Questions – *FACC's answers to Infinity's questions (dated 10/19/05) regarding CCIS analysis*
FACC – *Technical Services Agreement between FACC and FACCSG*
FACC – *CCIS Monthly Recording Fee Revenue Report (Jul – Dec 2004)*
FACC – *CCIS Monthly Recording Fee Revenue Report (Jan – Aug 2005)*
FACC – *CCIS Project Cost Actuals and Budget (FY 01/02, FY 02/03, FY 03/04 Actuals, FY 04/05 Budget and Actual, and FY 05/06 Budget)*
FACC – *Application for Funding Assistance for the FDLE "Byrne" Grant (\$767,322)*
FACC – *List of 54 CCIS users (for user survey)*
CCIS User Survey Form – *Used by Infinity to conduct user survey*
CCIS User Survey (Summary of Results) – *Infinity's compilation of results from 25 survey respondents*
Operating Environment Follow-Up Questions – *FACC's answers to Infinity's questions following a site visit on 10/18/05*
CCIS Questions – *FACC/Infinity e-mail dialog regarding recording fee clarification*
CCIS Questions - *FACC/Infinity e-mail dialog regarding clarification of terms used in CCIS budget*
CCIS Questions - *FACC/Infinity e-mail dialog regarding policy for distribution of costs between shared resources*



CCIS Questions - *FACC/Infinity e-mail dialog regarding clarification of Phase II grant revenue*

CCIS Questions - *FACC/Infinity e-mail dialog regarding membership of CCIS Program Committee*

CCIS Questions - *FACC/Infinity e-mail dialog regarding status of ADL project*

CCIS Questions - *FACC/Infinity e-mail dialog regarding Help Desk FTE for CCIS*

CCIS Questions - *FACC/Infinity e-mail dialog regarding entity relationship diagram, future expansion capability, and business rules for Person Search functionality*

2. JIS Overview

The Judicial Inquiry System (JIS) is a “single query system” that allows users to access multiple state and circuit databases from a single logon. This system retrieves data from various source entities and displays the search results in a screen view. Additionally, specific data is used to automatically populate the existing online sentencing system. Data source agencies are minimally impacted by the retrieval of their information and the system provides for unlimited user access.

2.1. Background/History

In July 2001, the Trial Courts Technology Committee³ was charged with the responsibility of designing a long-range strategic plan to coordinate present and future technology development in the trial courts. The Trial Courts Technology Committee believed that standardizing and automating trial court technology would allow the stakeholders⁴ to have access to accurate trial court information. As of July 2001, the need for timely and accurate data was not being met. Through a series of Joint Application Development (JAD) meetings with key stakeholders (from February 7, 2002 through June 14, 2002), the Trial Courts Technology Committee, in conjunction with staff from the Office of the State Courts Administrator (OSCA), developed Functional Requirements, Technical Standards, and a statewide Strategic Plan pursuant to the Committee’s directive. On October 25, 2002, the Trial Courts Technology Committee and the Florida Courts Technology Commission approved the Requirements, Standards, and Plan via Florida Supreme Court Administrative Order AOSCO3-16.

As a goal of the statewide Strategic Plan, “the judicial branch will fairly and timely resolve issues brought before it.” It was apparent to judges the lack of timely data available to them caused the state to fall short of the Plan’s goal. Due to the number of disparate court and information systems, judges throughout the state of Florida were unable to obtain a complete picture of a defendant brought before the court from a single system. A ‘complete picture’ would facilitate judges’ decisions related to assigning bonds and sentencing. Additionally, having this ‘complete picture’ would ensure that defendants who pose the most threat would be quickly identified by the court, thus ensuring judges’ orders to be commensurate with the defendant’s history.

In keeping with the needs of judges, the Trial Courts Technology Committee discussed the dual benefit of a “single query system” to: (1) Provide judges and staff with a central location for timely state and circuit information, thus alleviating workload and providing the ‘complete picture’ and (2) automatically populating the existing online sentencing system with vital information. It was noted that this “single query system” would also benefit other criminal justice agency users by providing them with access to multiple data sources from a single logon.

OSCA earmarked \$290,000 from existing grant money to develop a “single query system” prototype named the Judicial Inquiry System (JIS). The Functional Requirements, Technical Standards, and statewide Strategic Plan previously created by the Trial Courts Technology Committee provided the basis for an Invitation to Negotiate (ITN) presented by OSCA to develop JIS. The ITN described the intended outcome and benefits of the JIS system as:

- A single query system from multiple databases
- Increase in efficiency without impacting existing operations
- Ensure the autonomy, jurisdictions, and security concerns of the participating agencies
- Provide the desired benefits as quickly and cost-effectively as possible
- Allow judges/users to view data on one screen
- Populate the existing online sentencing system with the appropriate data

³ A standing committee of the Florida Courts Technology Commission

⁴ To include the Judicial Branch, its partners in the Judicial System and the needs of the public

In addition to the Requirements Phase conducted by the Trial Courts Technology Committee and OSCA, the ITN also outlined two additional phases for the project: (Phase 1 and Phase 2)

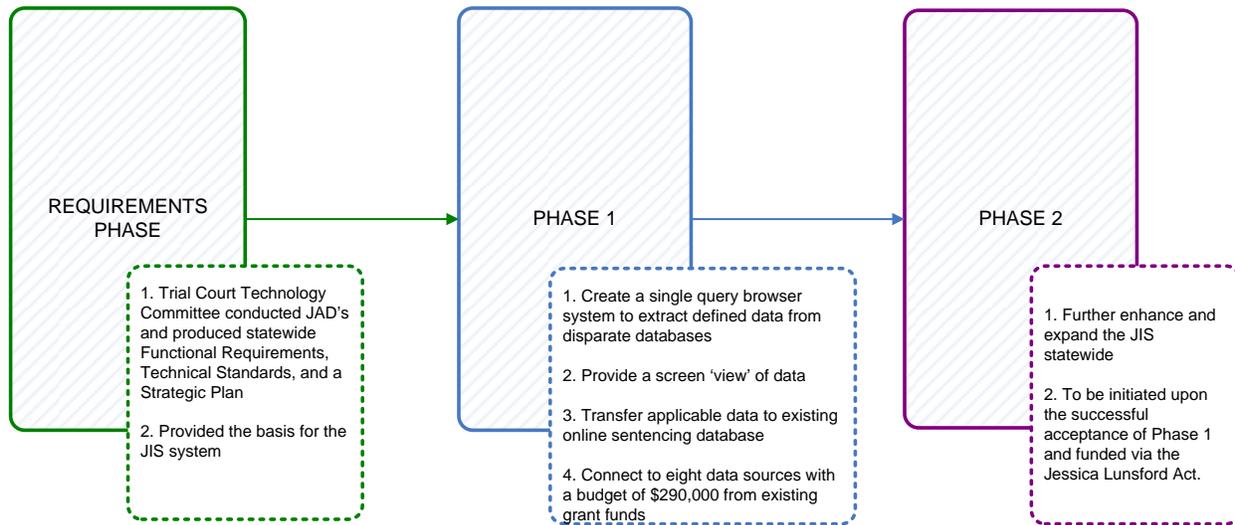


Figure 1: Phases of JIS

2.2. Requirements Phase

A series of JAD sessions were conducted by the Trial Courts Technology Committee and OSCA (from February 7, 2002 through June 14, 2002) to assess the needs of the trial courts and judges throughout the state. This initiative produced statewide Functional Requirements, Technical Standards, and a Strategic Plan that were approved by the Florida Courts Technology Commission and the Trial Courts Technology Committee. These deliverables provided the basis for the JIS system.

2.3. Phase 1

In March 2004, Metatomix™ was selected as the vendor to create the JIS system. Metatomix™ used one of its existing products to form the foundation of JIS. During Phase 1 of the JIS project (from June 2004 - February 2005) \$290,000 from existing grant money was used to purchase a license for unlimited users, customize the Metatomix™ product to create JIS, and program links from JIS to 8 data sources.⁵

In continuation of Phase 1 (from February 2005 – September 2005), approximately \$313,100 was used from OSCA's general revenue to connect additional data sources⁶ and provide for system maintenance.

Currently, there are 500 users with access to the JIS system; most of whom are judges, judicial assistants, and case management workers. However, the Department of Children and Families (DCF), State Attorney's Offices, Law Enforcement Agencies, Probation Officers, the Florida Parole Commission, and Pre-Trial Release workers have all expressed interest in using the JIS system and

⁵ Department of Highway Safety and Motor Vehicles (motor vehicle and license information), Florida Department of Law Enforcement (Hot Files and Florida Crime Information Center), Department of Corrections (inmate information and photos), Leon County Clerks Office, and 8th Judicial Circuit Clerks Office (Note that some entities provided more than 1 data source)

⁶ Florida Department of Law Enforcement (National Crime Information Center, Florida Summary, Query Center, and Sexual Predator database), Florida Association of Court Clerks (Comprehensive Case Information System), Department of Juvenile Justice, Department of Children and Families, and Appriss-jail booking system

some are currently users of the system. OSCA anticipates there could eventually be as many as 10,000 JIS system users.

2.4. Phase 2

On May 2, 2005, the Jessica Lunsford Act was created and provided for specific requirements for OSCA and the JIS system to: "...facilitate the information available to the court at first appearance hearings and at all subsequent hearings for these high-risk sex offenders..." Additionally, the Act states the "...courts shall assist the department's dissemination of critical information by creating and maintaining an automated system to provide the information as specified...and by providing the necessary technology in the courtroom to deliver the information⁷"

Pursuant to the Jessica Lunsford Act, Phase 2 of the JIS project states its primary goal is to implement a process which will allow for the immediate delivery of information to those qualified parties involved in first appearances in their counties. This will be funded with 1.3 million dollars from the total amount of money provided by the Jessica Lunsford Act and will be accomplished by obtaining real time booking information via the FDLE Live Scan system and the Appriss jail booking system and automatically querying those defendants' names from the data sources connected to JIS. The query information will be 'pushed' to specified confidential Jessica Lunsford Act website locations for access by judges, state attorney's, public defenders, and any other individuals qualified to access and view this data at first appearance.

Phase 2 will provide links to more data sources and provide for an updated and enhanced dashboard view, specific to user roles. Additionally, Phase 2 features will expand the JIS servers to ten co-locations throughout the state, thus improving the reliability of the system through high availability and automatic failover and redundancy features.

Phase 2 began in September 2005 and will continue through March 2006. Refer to subsection 3.3 of this report for a complete description of Phase 2 objectives.

⁷ Florida Statutes 948.061(2); Section 15 of House Bill 1877

3. JIS Design and Development

Infinity Software Development, Inc. (Infinity) conducted a review and analysis of the design and development methodology, documentation, and processes associated with the JIS system. JAD documentation, Functional Requirements, Statement of Work, and Technical Specifications were used to review and provide analysis for this portion of the report. The following subsections represent Infinity's findings.

3.1. Requirements Phase

From February 2002 through June 2002, the Office of the State Courts Administrator (OSCA), on behalf of the Trial Courts Technology Committee, conducted a series of Joint Application Development (JAD) meetings to determine the information needs of the judges, identify what entities housed the information required by the judges, and map the flow of information within those identified entities. Each court division was the focal point of a specified JAD session to include the Criminal, Civil, Juvenile, Probate, Family, Traffic, Drug, and Jury/Witness divisions. All key stakeholders were identified and invited to attend the JAD specific to their division. In lieu of meeting minutes, each JAD participant was provided a copy of the work flow specific to their court division prior to the JAD. During the JAD the work flows were analyzed and edited as deemed appropriate by the group. A JAD session outcome report was created from each JAD and used to create the final Functional Requirements document.

Since the work flows and needs analysis were evaluated and edited directly within each JAD, the Functional Requirements document was, in essence, created during the JAD sessions. In addition to the JAD sessions, existing sources of information such as state and local process flow descriptions, flow charts, and data dictionaries were used to create the Requirements. A review of Florida statutes and Florida rules of court provided critical information as well. According to the Requirements overview, the purpose of the document was to "describe the functional requirements and information needs of the trial courts in each of the courts' divisions and systems from the Judges' perspective, primarily addressing the Judges' court case management responsibilities."

3.2. Phase 1

A **Statement of Work** document was created by OSCA and agreed upon by Metatomix™ prior to the JIS project. This document outlined each stage of **Phase 1** of the project to include the following:

Stage 1

- Project Startup - Establish the project team, initiate staff background checks, validate project goals and timelines, define project roles and responsibilities, define joint project team control and communication, and make initial data requests to participating agencies. OSCA conducted these tasks and identified the data source entities to be included in the JIS system.
- JAD Sessions - Conduct JAD sessions to review the JIS pilot and provide change requests to the dashboard layout and functionality. A JAD session was conducted on June 23, 2004, to review the JIS pilot and provide change requests to the dashboard layout and functionality. Notes were taken during this session which documented the requested changes made by the stakeholders in attendance.
- Project Management - Establish a project manager (Chris Blakeslee of OSCA and Christian Barr of Metatomix™) and define their responsibilities. Several tasks were outlined in the Statement of Work document and conducted by the respective project managers. Most of the project management documentation consisted of Excel spreadsheets, Word documents, and emails.
- Infrastructure Installation and Setup - OSCA will provide the infrastructure for the JIS system and supply an unlimited number of users access to the system to include server room/data

center facility for JIS hardware, server mounting facility, network infrastructure within and throughout State of Florida for JIS connectivity, external VPN access, and technical personnel for architecture/troubleshooting support. Refer to section 7 of this report for details regarding the JIS operating system.

Stage 2

- Interface Requirements - Conduct reviews at each data source agency to determine the interface to be developed. This includes security requirements for connecting to and accessing the data source, physical connection requirements, communication protocol, basic infrastructure definition, database structure specification, and logistics of data transfer. This was done prior to each data source connection and was documented by Metatomix™ in their Technical and Interface Specification documents. These documents were reviewed by Infinity, however, due to the proprietary technology incorporated in the JIS system, the documents were not duplicated or removed from the Tallahassee OSCA location.
- Functional Requirements - Defines the valid search parameters, valid search parameter values, expected data elements to be returned in the results set, presentation and organization of the results set, and the priorities for implementation of requirements. Develop an electronic form to track all requirements modifications and ensure completion of tasks. The Functional Description document created by Metatomix™ was reviewed by Infinity at the Tallahassee OSCA location. Due to the proprietary technology incorporated in the JIS system this document was not duplicated or removed from OSCA. It should be noted that the technical staff at OSCA reviewed and approved all functional and technical specifications created by Metatomix™ for the JIS system. OSCA found the documents to be consistent with the goals of JIS and properly written to ensure OSCA's technical staff could replicate the system technology should Metatomix™ cease to exist in its current status. See section 6.4 of this report regarding the Flexsafe Escrow Agreement as it pertains to the JIS proprietary technology.

Stage 3

- Dashboard Design - Design the dashboard application based on the requirements defined in Stage 2 to include web screen contents and layout, allocation of the requirements and business rules, and the navigation flow through the screens. The changes documented from the June 23, 2004, JAD session were implemented in the dashboard design.
- Security Design - Includes a security component based on the requirements identified by OSCA and Metatomix™, encompass user authentication and authorization within the JIS system, and assign roles and system privileges associated with those roles. Roles and privileges are based upon each data source entities' rules and procedures. An Excel spreadsheet created and maintained by OSCA identifies each type of user within the JIS system and the privileges associated with those user roles. Users can only view information commensurate with their assigned roles.
- Interface Design - Includes the design for connecting to the data sources, the data accessed at a particular data source, and the mapping of the source data elements to the JIS rules engine. The Technical and Interface Specifications created by Metatomix™ were used to build the interface design. The documents were reviewed by OSCA's technical staff and deemed appropriate for the objectives of the JIS system.
- Activity Directory - Create an administrative interface to the MS Active Directory server to serve as the central user directory and authentication mechanism. This is currently being utilized by the JIS administrators and it provides the functionality needed to maintain all current and future users.

Stage 4

- Development and Unit Testing - Includes configuration of the system software based on the design established in Stage 3. As software configuration occurs, Metatomix™ will test each unit of software prior to integration testing. Unit testing was outlined in the Test Plan created

by Metatomix™ and, according to OSCA, was performed to their satisfaction. Refer to section 5.1 of this report for details regarding testing.

- Integration and System Testing - Includes testing of the integration of software components and performing system testing in accordance with the approved Test Plan. Results of the system testing will be documented and provided to OSCA. This documentation was provided to OSCA and the testing was performed to their satisfaction. Refer to section 5 of this report for details regarding testing.
- User Acceptance Testing - Includes support by Metatomix™ of user acceptance testing and coordination by OSCA with judicial points of contact to facilitate the task of testing. User testing was conducted 'in-house' at OSCA. Additionally, Technology Committee Members were assigned user testing tasks.

Stage 5

- Training – Training for JIS personnel was provided by Metatomix™ and training for system users is provided by OSCA. Refer to section 5 of this report for details regarding system training. User's are also provided a step by step user guide which will assist them in learning the system.

As Phase 1 objectives were completed, the product created by Metatomix™ included **three components**⁸ to the JIS system to include:

- JIS Dashboard – This is the web-based user interface that was designed to submit queries and view results. Logons and data entry are conducted through the web server (front end) of the JIS system.
- Metatomix ERI Metadata Repository™ (proprietary) – This serves as the short term data cache for query results and related data. Queries are conducted through the database server (back end) of the JIS system.
- Metatomix ERI Runtime™ (proprietary) – This integrates the data source entities to JIS.

3.3. Phase 2

Phase 2 of the JIS project began in September 2005 and is scheduled to conclude in March 2006. The following is a breakdown of stated objectives for Phase 2:

- Objective #1 - Implement the requirements of the Jessica Lunsford Act. This includes creating a search and notification function that will 'push' real time booking information to qualified parties involved in first appearances and arraignments in their counties. Section 8.2 of this report provides a detailed description of how this feature will be implemented.
- Objective #2 - Further enhance the capability of JIS through integration of multiple agencies and organizations. This will include 10 additional links to data source entities. These additional data sources will be based on user requests and needs but have not been decided upon or implemented to date.
- Objective #3 - Improve the reliability of the system through high availability/automatic failover and redundancy servers. This will be implemented by providing multiple redundant servers located throughout the state network in 'co-locations'⁹. Section 10.2 provides a detailed description of how this feature will be implemented.
- Objective #4 - Provide a unique user experience by creating a role-based user interface environment for participating groups/agencies. JAD sessions will be held with each group to

⁸ As documented in the Functional Description document created by Metatomix™

⁹ Tallahassee, Jacksonville, Tampa, and Miami will serve as the co-locations for redundant servers to support multiple smaller circuits. Additional servers will be implemented for each of the larger counties to include the 6th, 9th, 11th, 13th, 15th, and 17th judicial circuits. This will assist with keeping statewide requests balanced among various servers.

design a dashboard that best suits their needs. Additionally, this will ensure that, upon logon, each user will only see the information specific to their roles.

- **Objective #5** - Improve the reporting functionality of the application. OSCA will design and develop a dashboard for the OSCA through which the administrators of the JIS system will be able to view user usage histories and create reports. This feature will allow OSCA to provide these reports to data source entities who want to track usage of their information via JIS.
- **Objective #6** - Perform a feasibility analysis of calendaring systems so that information can be correlated, integrated, and sent to associated calendaring applications. If a Judges' Calendaring Integration module can be implemented within Phase 2's timeframe, this objective will be implemented.

3.4. Requirements for Participating Entities

Entities identified by JIS as a 'data source' were contacted by OSCA. System participation required the data source entity to allow OSCA access to the information and records required by county and circuit judges to perform their statutory duties. All data source entities voluntarily entered into a Memorandum of Understanding (MOU) with OSCA. Each MOU was agency-specific but included the following similar requirements:

- The MOU asserts its legal authority is predicated by Florida Statute 943.08 which states that the duties of the Criminal and Juvenile Justice Information System Council¹⁰ will, "facilitate the identification, standardization, sharing, and coordination of criminal and juvenile justice data and other public safety system data among federal, state, and local agencies."
- The purpose of the data exchange request (with the authority of F.S. 943.08) is to provide the circuit and county judges with information necessary for them to perform their statutory duties.
- Implementation of the data exchange is facilitated by the data source entity's agreement to provide OSCA with the requested information; either through a portal provided by the data source entity or via a communications connection provided by OSCA.
- The data source entity agrees to give OSCA the information at no charge.
- OSCA agrees to safeguard and maintain the integrity and confidentiality of the information received in accordance with Chapter 320 and 322 Florida Statutes, 409.2579 Florida Statutes, 45 CFR 303.21, Chapter 44-4 Florida Administrative code, and per any entity specific requirements.

3.5. Requirements for System Users

Individuals requesting access to the JIS system must agree to user requirements based on their individual agency's memorandum of understanding. Additionally, before OSCA will assign a logon and password, the user must comply with the following requirements:

- If the user requires access to FCIC/NCIC, an FDLE/FBI background check must be performed, if one has not been completed. The user must be fingerprinted on a blue (applicant) fingerprint card which must be sent to OSCA for processing.
- All users must be FCIC/NCIC certified in order to obtain FCIC/NCIC data. Certification is obtained through FDLE.
- Each user must request a digital certificate through Criminal Justice Network (CJNET). Only Criminal Justice Agencies are authorized by FDLE to obtain a digital certificate as the information provided by CJNET is exempt from public record. This certificate allows users to

¹⁰ The council is composed of the Attorney General, the Executive Director of the Department of Law Enforcement, the Secretary of the Department of Corrections, the Chair of the Parole Commission, the Secretary of Juvenile Justice, the Executive Director of the Department of Highway Safety and Motor Vehicles, the State Courts Administrator, 1 Public Defender, 1 State Attorney, and 5 members appointed by the Governor consisting of 2 Sheriff's, 2 Police Chiefs, and 1 Clerk of the Circuit Court

access the Department of Highway Safety and Motor Vehicle's "DAVID" database. The information provided therein includes license photos and signatures which are only available to law enforcement personnel.

- Users must authenticate their digital certificate for JIS by logging on to FICJN.net.
- If a user requests FCIC/NCIC access and is FCIC/NCIC certified, they must be entered into the Active Directory at OSCA with an assigned ORI number and Mnemonic¹¹ from FDLE in order for OSCA to create a JIS user logon and password. Agencies outside the court must request a separate ORI and Mnemonic from FDLE. For information relating to an issue involving Phase 2 of the JIS project and the assignment of Mnemonics from FDLE, refer to section 8.2 and 10.2 of this report.
- OSCA will create the user's initial logon and password but the user can change their own password by clicking <User Management> on the JIS search screen.
- Users must also complete and sign a JIS User Access agreement form and send it to OSCA.

3.6. Infinity Analysis of JIS Design and Development

Requirements Phase

Information gathered by the Trial Courts Technology Committee and OSCA during the Requirements Phase provided the basis for the JIS system. Through a series of JAD sessions, valuable information was gleaned from productive meetings with key stakeholders. Each JAD was specific to a court division. Additionally, prior to each JAD, all participants were provided with documentation to be discussed, reviewed, and analyzed during the session. As a result, the JAD sessions were organized, thorough, and productive. Each JAD outcome produced a final draft of a particular court division's work flow and a report of issues that were discovered. Standard meeting minutes were not created from the JAD sessions during this phase, so there was no record of changes, edits, or additions to the original process flows within each court division. Additionally, there was no record of discussions held during the JAD sessions that may serve to document how or why a decision was made. However, a review of the Functional Requirements document created from the JAD sessions determined the document was thorough and fulfilled its objective. The issues tracking document also provided a detailed review of issues identified during the JAD sessions.

Phase 1

OSCA utilized the information gathered during the Requirements Phase to their advantage when creating the requirements for JIS. By using existing and relatively current information, OSCA obtained an accurate picture of the type and location of information to be included in JIS, thus saving time and money at the start of the project. As a result, most of the requirements were documented prior to a vendor being selected to create the JIS system.

Before any work began for Phase 1, a Statement of Work document was created by OSCA and approved by Metatmoix™. This document provided a detailed outline of each stage of work to be completed during Phase 1. This provided for a well organized and thorough approach to meeting goals, however, timelines were not established within the Statement of Work document. This type of information would be imperative to keeping the project within the allotted timeframe and alert the project manager of any delays in work. However, due to the consistent communication between the project managers for OSCA and Metatomix™, the project remained on course and anticipated delays with data source entities were quickly resolved.

Phase 1 did not include a change management process or risk assessment in the contract or statement of work documents. This type of documentation is traditionally created prior to work beginning on a project. Change Management statements ensure that any changes identified during the course of a project are assessed, articulated, managed, and resolved in a process agreed to by all parties. Additionally, identifying potential risks prior to a project forces the client and vendor to

¹¹ Number assigned by FDLE to identify the device from where a request is made

acknowledge those risks and identify resolutions. For purposes of the JIS project, it was agreed by OSCA and Metatomix™ that any changes or risks discovered during the project would be dealt with immediately via constant communication between both project managers. Although this method worked for the JIS project, it is highly advisable to have a change management process and risk assessments documented prior to any work performed on a project. This will ensure all parties are educated on how to address changes within a project and what types of risks to anticipate.

The Functional Description, Technical Specification, and Interface Specification documents created by Metatomix™ were clear in their intent and thorough in their content. The goals of these documents were met as was evident by the final product. Because of the proprietary technology incorporated in the JIS system, Infinity conducted a review of the documents at the Tallahassee OSCA location. The documents were not replicated, nor were they removed from the OSCA location. Their content will only be referred to in general, high level terms so as not to compromise the confidentiality of the information provided by Metatomix™. It should be noted that the technical staff at OSCA reviewed and approved all description and specification documents created by Metatomix™.

Phase 2

As of this writing, Phase 2 of the JIS system is in the early stages of development. The objectives for Phase 2 are clearly outlined, as are its priorities and timelines. It appears that this type of organization and documentation will keep Phase 2 objectives on track and minimize the risk of delays or miscommunication.

Phase 2 does not articulate a change management process or risk assessment in any of its documentation. As previously mentioned, it is advisable to include those two components in a project's contract or statement of work prior to the start of a project.

Because Phase 2 is currently being developed, there were no design or development documents to review.

Analysis Conclusion

The design and development of the JIS system was thoroughly documented and implemented according to Phase 1's stated objectives. Some documentation, such as change and risk management was not implemented, whereas other types of documents were created in a non-traditional format. However, the documentation outlined each goal/objective and the responsibilities of the project managers. To date, the stated goals have been met within their allotted time frames and budgets. The intended design of the JIS system was achieved with successful results and user acceptance.

The following guidelines should be implemented with regard to project management documentation:

1. Timelines should be created at a level detail such that all tasks are no more than one week long.
2. All tasks should have a single, named person responsible for the task, even if additional resources are assigned.
3. All tasks should have a verifiable outcome; i.e., no task such as "research options" or "meet with stakeholders" would be permitted unless they have a deliverable associated with them (e.g., "create a research report" or "meet with stakeholders, create meeting minutes, and modify specification document version 1.1 based on meeting input," etc.).
4. All tasks should include hours required, a start date, and an end date; for example, "Task 10.2, Create Logon Screen, 30 hours, Start: 1/15/05, End 1/19/05, Lead: John Smith."
5. Actual hours and dates should be tracked separately from planned hours and dates.
6. Design documents must include *all* business rules, including interface functionality. A common practice is to develop a section in the specification for each screen, with a "screen-shot" and a detailed description of all controls on the screen as well as all links and actions that can be performed on that screen.

4. JIS System Functionality

As part of a thorough analysis of the JIS system, Infinity Software Development, Inc. (Infinity) received a 'hands-on' review of JIS. The review was conducted at the Office of the State Courts Administrator (OSCA) and monitored by JIS personnel to ensure that all security rules were adhered to, so as not to compromise the data therein. This review allowed Infinity to analyze all the features and functionality available to system users.

4.1. JIS Overall Design

Requirements Phase

The Functional Requirements created by the Trial Courts Technology Committee identified specific information required by judges to perform their duties. This information was utilized when creating the JIS system. Each data source entity was identified from the Committee's JAD sessions and subsequently contacted by OSCA regarding their participation in the JIS project. Not all identified data sources could be connected to JIS in Phase 1. However, the ones most requested via judges' input were included.

Phase 1

The two **Functional Aspects** accessible through the JIS system (per user role) are the:

- JIS Search – This allows users to quickly search information about defendants from multiple justice-related data sources.
- JIS Sentencing – This allows users to access the existing online sentencing system. JIS obtains specific information and transports it to the sentencing system.

Once a user logs on and provides a valid password, the JIS system displays a permissions-based 'dashboard' screen view. This dashboard view allows the user to initiate a search using a variety of search criteria options.

The **Dashboard** contains the following functionality:

- User Logon – This verifies the user via the Active Directory. The Active Directory retrieves permissions and displays the appropriate query page as determined by the user's role.
- Issue Query – Once search criteria are entered by the user, it is sent to the Metatomix™ platform where data sources are searched based on user permissions. Data sources are queried based on established rules.
- Summary Query Results – A summary of initial results are displayed based on the search parameters.
- Detail Query Results – These are displayed when a user selects the "view detail" command button.
- Compare Selected – This command button enables the user to view basic demographic information and photos of up to three selected records at a time. This is in order to compare results that JIS has considered separate individuals, but which may be the same person.
- Search Again – This feature uses the data returned in the first search to search more records from all selected data sources, as some data sources require more minimum search criteria. 'Search Again' increases the probability that all possible records for a person will be returned. For example, an initial search using a name and date of birth may return the person's social security number or FBI number. The Search Again feature will use the newly acquired numbers to search the selected databases again, thus providing additional information.

The **User Management** feature provides the following functionality:

- User Management – This feature allows the system administrators to store and manage users, groups, and profiles. System administrators are responsible for creating groups and profiles as well as adding users and applying appropriate permissions.
- Password Management – This feature allows users to change their password without requesting action from an Administrator. It should be noted that the ability for user's to change their own passwords without Administrative assistance reduces the number of service requests to the Tallahassee staff.

Additional features included in the JIS system are Auditing and Rules functions. The system audit function tracks user queries for analysis or distribution and includes the user name, date/time of query, query parameters, and data sources selected. The rules function applies to summary queries, records match and merge, detail query parameters, and scoring. Metatomix™ also provides tools and methods for performing system operations, administration and maintenance tasks.

The Online Sentencing System is accessible through JIS. It was designed to automate the sentencing paperwork process performed by judges, prosecutors, and corrections facility personnel. The sentencing system automatically creates score sheets used by prosecutors. Additionally, the system creates an online signature that allows judges to sign off on sentencing packages and electronically transmit them in a timely manner. Previously, commitment packages were not being received by the corrections facility when the inmate arrived, thus creating delays in processing and subsequent defendant appeals. The goal of the sentencing system is to streamline the sentencing process by providing current information for a given defendant, automate the sentencing forms, and provide for an automated transmittal of information from the courtroom directly to the corrections receiving facility. JIS is an integral part of the sentencing system as it automatically populates the system with information from its data sources.

Phase 2

As of this writing, Phase 2 system enhancements are being developed. These new features will include an updated dashboard to reflect users' needs and requirements, an automatic search and notification component that will provide immediate information on newly booked arrestees, and the addition of several more data sources to be determined at a later date.

The automatic search and notification feature will provide immediate information to each circuit regarding recent bookings at jail facilities. When a subject is arrested and processed at the booking facility through FDLE's live scan, that information is received by FDLE. If the subject is identified as having a prior record, FDLE will electronically send the subject's demographic and identification information to the JIS system where an automatic search will be performed. This accounts for approximately 80% of the arrests in Florida. For the 20% of arrests where there is no prior record in the FDLE system, the Appriss system will send the subjects' demographic information from the local jail management systems to JIS where an automatic query will be performed. Each subjects' query results will be correlated by JIS into the applicable judicial circuits. Authorized users will be able to access their JIS circuit view for a detailed summary of defendants who will be attending first appearance or arraignment. Refer to section 8.2 of this report for further details regarding the automatic search and notification feature.

4.2. Participating Entity Impact

Data source entities were contacted by OSCA for participation in the JIS project. Each entity willingly entered into an MOU with OSCA to ensure the integrity of their information and the authorization of each user to view their information. As was noted in the design and development of the system, OSCA provided for the infrastructure installation and setup for JIS. OSCA and Metatomix™ conducted a thorough review of the entity specific requirements prior to any data source connection. The data source entities agreed to provide JIS with their information at no cost, and each entity was assured that providing a connection to JIS would create as minimal an impact as possible. This was accomplished through proprietary technology created by Metatomix™.

Data source entities responded positively to the JIS concept. In particular, the Department of Highway Safety and Motor Vehicles (DHSMV) indicated that their agency was willing to participate in JIS and has incurred some costs associated with making the connection to JIS but believed the costs to be minimal. Additionally, DHSMV intends to continue enhancing their system to allow for an XML data format which will ensure the JIS connection is easily maintained and that data format changes have minimal impact. DHSMV added that they were confident in the system and data security provided by JIS, as it relates to DHSMV's data.

FDLE expressed its desire to cooperate with JIS, noting the system was timely and useful. However, FDLE, as with other data source entities, wants to ensure the security and integrity of its information. As FDLE must abide by federal guidelines pursuant to their NCIC information and standards, they pose unique and more stringent requirements for accessing their data. FDLE continues to work with JIS and will perform scheduled audits of the JIS system's data security and integrity implementations. JIS has agreed to facilitate any audits requested by their data source entities as a means to enhance cooperation and confidence in the JIS system. To date, there have been no noted concerns with regard to the security or integrity of any information queried and displayed by JIS.

4.3. System User Impact

The users assigned to the JIS system are all employed by governmental agencies. Each user must meet the strict guidelines set forth by the data source entities prior to receiving access to the system. Once access is granted, the users will be provided with a dashboard specific to their user roles. This ensures users only view information consistent with the data source entities specifications.

System users range from judges, judicial assistants, case managers, law enforcement, state attorneys, and probation officers. The data acquired through JIS supports the job functions of each user. Previously, users had to log on to several systems in order to get all the information they needed for a case, first appearance, or sentencing. This was time consuming and inefficient. Through the use of the JIS system, users can access all the data sources they need from one logon. This significantly reduces the amount of time spent on the computer, searching through various data sources to complete an assignment. Judges can now obtain a defendant's criminal, incarceration, and driving history. Additionally, through the compilation of all 67 clerks' offices via the Comprehensive Case Information System (CCIS), judges can obtain current and pending cases involving the defendant in various counties. This information is vital as clerk of court information previously consisted of disparate systems that did not communicate with each other. Additionally, the only method a judge in one circuit had to obtain information from another circuit was to call that circuit and ask for the records. Law enforcement users can access JIS to conduct investigations, gather intelligence and locate/identify subjects in order to resolve cases. Previously, law enforcement encountered the same issues as judges; disparate data systems that did not communicate with each other. JIS allows sworn personnel to obtain vast and current information from one logon. Each JIS user, regardless of their role or job description, can benefit from a single logon system that queries numerous data sources, and provides the results in an easy to interpret format.

In order to obtain information from actual JIS users, interviews were conducted using the following survey:

- a) What was required to become a user/data source of the JIS system? (MOU, user license fee, specific software/hardware, additional staff...)
- b) How long have you been accessing the system?
- c) How does the JIS system perform? (fast response time, slow response time, frequent down time...)
- d) How is the JIS system useful for your organization? What features best serve your needs?
- e) Is the JIS system user friendly? (intuitive, easy to read screen views, easy to interpret results...)

- f) Is there any function that you would like JIS to offer that it currently does not? (data sources you'd like to see, features you'd like implemented...)
- g) Does the JIS system provide you with timely and accurate information? If not, what are the issues?
- h) Have you required technical/staff support with regard to JIS? If so, did you receive the assistance you needed? If not, please describe.
- i) Has your organization provided input to JIS for purposes of enhancing the system? If so, do you feel that your input was applied appropriately?
- j) Once you became a JIS user, has your organization incurred any additional expenses? (need for additional staff, fees associated with JIS, costs for additional hardware/software...)
- k) Please provide any additional comments you may have regarding the JIS system.

The users selected for the survey comprised of personnel in various court circuits, law enforcement agencies, and parole offices. The following is a synopsis of the users' responses to the survey.

The users indicated that JIS was extremely intuitive and user friendly. Requirements to gain access to JIS were strictly adhered to and did not require access fees. The users stated their search results were quickly retrieved and easy to interpret. Most users did not require additional technical support but believed the staff at OSCA were very responsive to their needs. In conclusion, the users surveyed indicated they 'loved' the system and found it to be very useful for their job duties.

4.4. Infinity Analysis of JIS System Functionality

Requirements Phase

It was determined that the information needs of judges, as documented in the statewide Functional Requirements document created by the Trial Courts Technology Committee, were implemented in Phase 1 of the JIS project. Although several data source entities are still to be added to the system and upgrades and enhancements are pending in Phase 2 of the project, the initial requirements agreed upon by the stakeholders during the initial JAD sessions were implemented.

Phase 1

OSCA provided Infinity with a copy of the JIS User's Guide developed by Metatomix™. This Guide was reviewed prior to the hands-on review of the JIS system. The User's Guide was thorough, easy to understand, and provided screen shots to aid in visualizing the content of the system.

A hands-on review of JIS allowed Infinity to examine all the Phase 1 features and functions available to system users. The dashboard displayed an organized appearance. Conducting a search was intuitive as all search fields were clearly marked with drop-down lists where appropriate. The functionality of the screen made it difficult to enter information incorrectly. The command buttons were placed in convenient locations and contained universal key word descriptors.

Once a search was executed, the results were displayed in order of match probability by displaying a percentage number next to each record. This aids the user in identifying the result record that closely matches the target of the search. Additionally, the 'compare selected' command button allows the user to view the selected records and photos, side-by-side, to determine if they are the same person. This is a useful feature since JIS does not input information into the data source systems and cannot dictate the accuracy of information provided by each data source. The 'compare selected' feature assists the user in determining false identity or further identifying a target that might be listed several times in a database due to slight variations in name or other identifier. The search results and detailed summary information were displayed in an organized and easy to interpret format. It was not necessary to 'drill down' through layers of information to get to the substance of the record. All information was readily displayed on one screen with convenient 'tabs' that clearly marked the source database information being viewed.

It was noted that a 'Site Help' command button was not functional and would be removed from the JIS dashboard. An online 'Help' feature would be useful for users who need quick answers to system functionality questions. However, all users are given a copy of the User's Guide which aptly demonstrates how to use the system and explains the features it possesses. Because the system is so intuitive, most users would not require assistance using the system. However, as the number of users grows, it would be useful to have an online copy of the User's Guide for reference. The JIS system is a query based system. Therefore, if a data source entity is experiencing technical difficulties or down times, users will be unable to retrieve search results from that source until the connection is restored. This is consistent with a query-based system and is understood by JIS users. Data source entities have agreed to notify OSCA when their system is down. To date, the majority of entities have followed through with the agreement. There have been occasions when a user or JIS staff has discovered the problem on their own. JIS is designed to send email notifications to its users when a data source entity is down. This feature ensures that users are aware of system issues. However, upon logging into the JIS system, an automatic notification on the dashboard displaying the data source systems that are down would provide users with instant knowledge of the sources that are available.

Because JIS retrieves information from its data source entities, the data is viewed by JIS users in the same format as created by those entities. Some data source entities do not have data formats that are structured in an intuitive manner. This provides a unique challenge for JIS as it cannot manipulate the data into a format that is easier to read. However, keeping data in the same format as created by each entity maintains the 'context' of all information displayed. As the data source entity systems have been in existence for a while, most JIS users are familiar with those formats making viewing that information through JIS easier. Upon viewing the different data sources available through JIS, it appears that JIS has displayed the information in an organized manner, despite the unintuitive formatting of certain data source entity systems.

Phase 2

Phase 2 features are currently being developed and are not available for review. However, the stated objectives for Phase 2 incorporate current users' requests for additional data sources as well as upgrades to the dashboard. Incorporating changes based on user feedback ensures the system is timely and practical. It also provides a sense of ownership among users. The incorporation of an automatic search and notification function will provide judges in any circuit with a fully populated list of defendants attending first appearance or arraignment. This is a major component of the Jessica Lunsford Act and a top priority for Phase 2 development. The objectives stated in Phase 2 provide a good example of clearly setting goals and priorities within a project.

Analysis Conclusion

The JIS system incorporates all the information and functionality as requested by judges during the initial JAD sessions conducted by the Trial Courts Technology Committee. Currently, upgrades and enhancements are being conducted per JIS Phase 2 Objectives. The dashboard is intuitive and search results are easy to interpret. Although JIS must conform to the source entity data formatting, it presents information in an organized manner.

5. JIS Implementation

The JIS Test Plan and Test Scripts were utilized to provide analysis on the Implementation methods used by OSCA and Metatomix™.

5.1. Review of JIS Implementation Plans

Requirements Phase

N/A for this section of the report.

Phase 1

The Test Plan, created by Metatomix™, outlined the test cases used to verify all supported functions of the JIS system. The Test Plan was created in August 2004 and executed from September 2004-2005. The Test cases were executed on three different platforms to include Microsoft Windows, Linux, and Solaris. Each test was prioritized as follows:

- Priority 1: These are the most important test cases and must pass prior to any further testing.
- Priority 2: These test the major functionality of the system.
- Priority 3: These should be run last as failure would not prevent the implementation of the system.

The Test Plan was used to verify the following test cases:

- Login
- Main Screen
- General – links, pop-ups, screens
- Create Search function
- Detail Query Results function
- Summary Query Results function
- Sentencing function
- User Management function

Metatomix™ provided OSCA with hands-on system training. OSCA provided User's Guides to new users and set up training sessions based on need and request. To date, most users do not require a formal training session but rather a brief demonstration and review of the User's Guide. OSCA maintains that it will provide training to anyone who requests it.

Phase 2

N/A for this section of the report as Phase 2 Test Plan is currently being developed.

5.2. Implementation Timelines and Priorities

Requirements Phase

N/A for this section of the report.

Phase 1

A traditional timeline was not created for Phase 1 development of the JIS system. However, the Statement of Work document provided a thorough outline of the stages identified for Phase 1 and the deliverables to be produced during each stage. For detailed information regarding Phase 1 stages refer to section 3.2 of this report.

Phase 2

According to OSCA, all Jessica Lunsford Act enhancements in Phase 2 will take precedence over any other tasks or objectives identified for Phase 2. Accordingly, a document was created by OSCA that outlines each Phase 2 objective, the deliverables to be created for each objective, a description of each deliverable, the billable value of each deliverable, and the month the deliverable must be created. For further details regarding Phase 2 stated objectives refer to section 3.3 of this report.

5.3. JIS Project Oversight

Requirements Phase

During the Requirements Phase, all administrative and documentation duties were provided by the staff at OSCA on behalf of the Trial Courts Technology Committee. There was limited project management documentation for review with regard to this phase of the project.

Phase 1

The Statement of Work indicated that a project manager would be provided by Metatomix™ (Christian Barr) and OSCA (Chris Blakeslee) to support the JIS project. This position would be full-time and the responsibilities would include:

- Project Plan development and management
- Resource allocation
- Communication on progress of the project to occur in a weekly status report and an issues list management document
- Invoice/Expense management

In addition, Metatomix™ and OSCA maintained daily contact to discuss progress, issues, and resolutions. However, a change management and risk assessment was not implemented in the project management documentation. As previously mentioned, these documents provide a strong foundation for a project and ensure issues and risks are addressed through an agreed upon process.

Phase 2

The oversight utilized in Phase 1 will continue through Phase 2. The same project managers are in place and the responsibilities remain the same. As noted earlier, change management and risk assessment has not been implemented in Phase 2 documents. However, the project managers continue to utilize constant communication and documentation of issues in a spreadsheet and tracking format.

5.4. Infinity Analysis of JIS Implementation

Requirements Phase

There was very little project management documentation available for review with regard to the Requirements Phase process. As was previously noted, traditional meeting minutes, project plans, and timelines were not utilized for project documentation. However, the JAD sessions were structured by court division, each participant received meeting materials prior to each meeting, and the results of each meeting were immediately implemented into the Functional Requirements document. Documentation of a project's process through meeting minutes, project scopes, change management statements, and issue tracking are all means of capturing the details of a project, memorializing the analysis conducted, and providing a record for future review. It provides for a best practices throughout the life of a project and for future ones to come. Although most of this type of documentation was not utilized during the Requirements Phase, the deliverables met their stated objectives.

Phase 1

The Statement of Work document identified each stage of Phase 1 and the deliverables to be completed therein. This provided a clear and organized plan for Phase 1, thus eliminating confusion over when and what tasks should be conducted. Change management and risk assessments were not implemented in Phase 1, nor was a project timeline. These are significant documents that should be implemented at the start of a project to ensure agreed upon process are followed with regard to changes and issues that arise during a project. The timeline allows for all parties to know when tasks or deliverables are due and identify potential delays.

The Test Plan created by Metatomix™ was thoroughly documented and covered all the functionality provided by the JIS system. Testing was conducted prior to any connection or deliverable being implemented and then again prior to the deliverable being accepted. This ensured each component was functioning properly on its own and within the entire system.

Training for new users is typically limited to a demonstration rather than a formal training session. The intuitiveness of the JIS system allows users to ‘catch on’ quickly with little instruction. This is an enormous time and money saver for OSCA as well as the users. Traditional training sessions are costly as the entity conducting the training must provide course materials and training logistics. The users’ agencies incur the cost of sending their personnel to training. The JIS system User’s Guide provides a format conducive to learning the system on one’s own. It should be noted that OSCA provides training and demonstrations upon request.

Phase 2

N/A as Phase 2 is currently being developed.

Analysis Conclusion

The JIS system was implemented using the guidelines established in the Phase 1 Statement of Work document and currently with the Phase 2 stated objectives document. Since the phase deliverables were clearly stated prior to work being conducted, the implementation of the system was without incident, based largely in part to the constant communication and team work between the OSCA and Metatomix™ project managers. Additionally, the support and attention provided by the data source entities allowed the JIS system to be implemented according to its stated plan. However, the creation of formal Timeline, Change Management, and Risk Assessment documents would provide for a solid project foundation and prevent unnecessary delays or miscommunication.

6. JIS Maintenance and Support

Infinity reviewed the Statement of Work and Support and Maintenance Agreement between Metatomix and OSCA in order to fulfill the requirements of this section. The following subsections provide a review and analysis of the maintenance and support processes provided for the JIS system and its users.

6.1. JIS Maintenance Process

Requirements Phase

N/A for this section of the report.

Phase 1

The Support and Maintenance Agreement between OSCA and Metatomix™ provides for on-going support of maintenance upgrades and revisions, product upgrades and enhancements, and email and phone support. The Agreement includes support for data format changes created by the data source entities. If such data formatting changes occur, the MOU between OSCA and the data source entity states that OSCA will be notified of the changes and provided with the necessary information to update the JIS system. Any system maintenance issues will be communicated directly between the OSCA and Metatomix™ project managers. The Agreement is binding and renewable on an annual basis.

Phase 2

Phase 2 will implement the same Support and Maintenance process as utilized in Phase 1.

6.2. System Change Management Rules

Requirements Phase

N/A for this section of the report.

Phase 1

A formal 'Change Management' rule does not exist in Phase 1 of the JIS project documentation, as was noted in section 3.6 of this report. However, a procedure is in place for system issues and changes to be reported. An 'Issue Report Form' is provided to JIS system users for the purpose of reporting an issue with the system. The form instructs the user to provide the date the issue was discovered, in what module the issue was discovered, and a narrative section to describe the issue. This form is forwarded by the user to OSCA, where it is reviewed and a reasonable attempt is made to resolve it. OSCA forwards the Issue Report Form to Metatomix™ where it is documented for tracking purposes. If OSCA is unable to resolve the issue, Metatomix™ will provide resolution to the issue.

To document requests for changes to the JIS system, a Metatomix™ email address is provided to system users¹². Change requests are routed through Metatomix™, logged in, and issued a priority code. All changes are reviewed and approved by both Metatomix™ and OSCA prior to being implemented or declined.

Phase 2

As in Phase 1, a formal 'Change Management' rule does not exist in Phase 2 of the JIS project documentation. The same process for reporting issues and requesting changes will be applied for Phase 2. However, with the addition of 10 servers throughout the state, each server location will have personnel in place to assist with system issue notification. However, all issue and change requests will continue to be sent to and logged by Metatomix™.

¹² support@metatomix.com

6.3. Budget and Funding for System Maintenance

Requirements Phase

N/A for this section of the report.

Phase 1

According to the Statement of Work document, the first year of maintenance fees was included in the original \$290,000 used to create the JIS system. After the first year, \$72,500 will be required annually for maintenance of Phase 1 system features. An additional three years of maintenance was paid for from general revenue money at the same time five additional data sources were added to the system during Phase 1. All maintenance fees will be funded from OSCA's general revenue. OSCA has procured recurring dollars to cover JIS maintenance, however, as more data sources are added the maintenance fees will increase and OSCA will have to request those funds through their budget request process.

Phase2

Phase 2 maintenance costs are contingent upon the number of data sources added to the JIS system. According to the Statement of Work document, the maintenance fee would be 25% of the software license amount of data sources #8-20. For more than 21 data sources, the maintenance fee would be 20% of the software license amount. Increasing the data sources linked to JIS decreases the percentage of the maintenance fees, thus creating a maintenance cost savings for OSCA.

It should be noted that the first maintenance payment is due within 18 months of OSCA accepting/approving a data source connection. Afterwards, the maintenance payment is due on an annual basis for each data source. OSCA is currently negotiating with Metatomix™ to create a single maintenance due date for all data sources as opposed to staggering them according to their acceptance date.

6.4. System Accountability/Support

Requirements Phase

N/A for this section of the report.

Phase 1

The Statement of Work document created for Phase 1 of the JIS project stipulates that OSCA will establish Level One support for the JIS system and Metatomix™ will be responsible for Level Two support. Level One support is defined as the receiving of all user phone calls and emails for issues reported and to provide subsequent answers and direction to users experiencing issues, problems, or inquiries. Level Two support is defined as issues diagnosed by Level One support will be investigated for the root cause and a resolution provided. Issue resolution will be communicated back through Level One support. To date, Level Two support has not been required as all issues have been resolved at Level One.

Because JIS is a query based system, it relies on each data source entity to maintain its own system. If a system is down, JIS users cannot access that data until the issue is resolved. The MOU's between OSCA and its data source entities provides that the source entity will notify OCSA if their system is experiencing technical difficulty or is being shut down for maintenance. Once OSCA is notified, the JIS system alerts its users through a notification feature.

A Flexsafe Escrow Agreement was provided by Metatomix™ to ensure the integrity of its proprietary technology in the event that Metatomix™ files for bankruptcy, reorganizes, or liquidates. OSCA is listed as the beneficiary of the Flexsafe Escrow deposit to ensure continued functionality of the JIS system. As was previously noted, the technical staff at OSCA reviewed and approved all functional and technical specifications created by Metatomix™ for the JIS system.

Phase 2

A goal for Phase 2 is statewide distribution of the JIS system to 10 server locations. Existing staff at each server location will accommodate the day-to-day operations of the JIS system, thus distributing the workload of the Tallahassee server and its staff. The first level of support will be transferred to personnel in the server locations and Metatomix™ will continue to provide Level 2 support.

Once JIS gains full statewide distribution, a future option would be to move the system support feature to an entity that has existing staff to provide 24/7 support to JIS users. This concept is in the preliminary stages of discussion.

6.5. Infinity Analysis of JIS Maintenance and Support

Requirements Phase

N/A for this section of the report.

Phase 1

The Support and Maintenance Agreement between OSCA and Metatomix™ is thorough and beneficial to the ongoing maintenance of the system. Establishing levels of support allows for day-to-day issues to be resolved in a timely manner by existing OSCA staff. To date, Level Two support has not been required which is a testament to the functionality of the system and the ability of OSCA's staff to resolve issues on their own. Additionally, the Metatomix™ project manager has been highly responsive to issues brought forward with swift and accurate resolution. It should be noted that JIS is at the mercy of data source entities and any format changes they make. The future of JIS is contingent upon data source entities agreeing to participate and providing OSCA with access to data and format changes. To date, OSCA has enjoyed a cooperative and enthusiastic relationship with its data source entities. However, despite the entity specific MOU's, there is nothing to prevent an entity from discontinuing its participation in the JIS system.

The most ideal scenario would be for OSCA to own the technology for the JIS system. However, OSCA has mitigated the unlikely event that Metatomix™ can no longer exist in its current status by utilizing the Flexsafe Escrow Agreement. This will provide OSCA with access to the proprietary technology that is the foundation of the JIS system, thus safeguarding the future of JIS.

Phase 2

Per the Support and Maintenance Agreement, OSCA benefits from adding data sources to JIS because it decreases the percentage calculated for maintenance fees. Additionally, the relationship between the OSCA and Metatomix project managers is highly evolved and responsive. Daily communication keeps issues and tasks at the forefront thus reducing the risk of delays and misunderstandings. According to the JIS user surveys conducted by Infinity, users highly complimented OSCA's (and specifically Chris Blakeslee's) quick responsiveness and thorough resolution of issues brought to their attention. This was touted as a significant feature of the JIS system.

Once Phase 2 is implemented, it is anticipated that the number of users will rise significantly. Currently, all support is provided by a small staff at OSCA. At its projected highest use level, the Tallahassee based staff at OSCA would be severely stretched to its limits to maintain support and day-to-day functions for JIS. It appears that OSCA is preparing itself for full statewide distribution by ensuring current staff in various circuits can perform administrative and trouble-shooting duties in their designated areas. Additionally, the option of moving the system support feature to an entity that has existing staff to provide 24/7 support shows forethought and planning on the part of OSCA to ensure JIS users continue to get a high level of support.

Analysis Conclusion

The Support and Maintenance Agreement is sufficient to provide necessary upgrades and enhancements to the JIS system. The responsiveness of the OSCA and Metatomix™ project



managers ensures system users are provided a high level of service. As the system is distributed throughout the state, a plan is in place to provide the same level of support that is appreciated by current JIS users. Even though OSCA does not own the JIS technology, the Flexsafe Escrow Agreement regarding proprietary JIS technology, provides stability for the future of the JIS system.

7. JIS Operating Environment

Technical staff employed by Infinity Software Development, Inc. (Infinity) reviewed and analyzed the JIS Operating Environment. The following subsections describe the results of that review.

7.1. JIS Operating Environment - Hardware

The Florida Supreme Court operates two (2) productions servers that host and serve the Judicial Inquiry System.

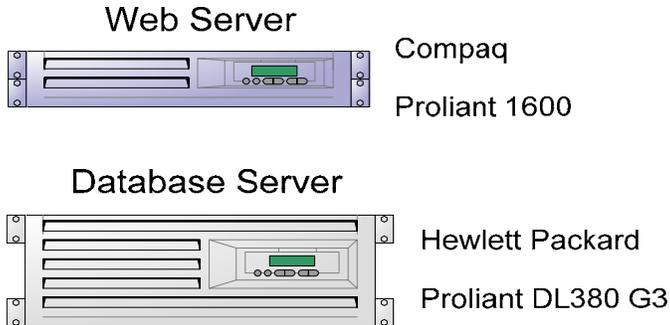


Figure 2:

In this environment each server provides a specific role and service for the JIS system. The Web server receives requests and interacts with the Database server to mine data and then present the user with the requested results. JIS's hardware operating environment is limited to this design for reasons outside of the application. This limitation is further discussed in section 2.2. Therefore, JIS cannot implement redundant servers or balancing technologies.

Hardware Highlights:

Item	Web Server	Database Server
Processor	Two (2) Intel Pentium III 500 MHz	Two (2) Intel Xeon 2.8 GHz Dual Core Processor
Memory	1 GB SDRAM	4 GB ECC
Hard Disks	Four (4) 9.1 GB 10K RPM	Four (4) 72.8 GB 15K RPM SCSI
SCSI	Wide Ultra 2 SCSI	Ultra 320 SCSI
NIC	Compaq Netelligent 10/100	Two (2) HP NC7781 10/100/1000

Table 1:

Web and Application Servers:

The Web server is an older Compaq Proliant server with older Intel Pentium III processors. Although the Web server is an older piece of hardware it has the capability to appropriately serve in the function of a web server.

The current server is configured in a manner that has redundant disk storage. This provides redundant storage capacity and if one drive failed the server would continue to function on the secondary hard drive.

Although the current Web server hardware is outdated, Supreme Court staff have identified that this server will be upgraded to a newer Hewlett Packard server. The newer server will have upgraded capacities with redundant resources that will provide growth and future stability.

Database Server:

The Database server is a Hewlett Packard Proliant DL380 G4 server. This server is an ideal backend database server. The server is configured with redundant hard disks that provide failover redundancy.

As with the Web server this server is also slated to be upgraded. The upgraded server will provide additional capacities and balance the needed technology for future expandability.

Network Infrastructure:

The network infrastructure for the Florida Supreme Court at the Tallahassee location is comprised of Cisco network equipment. The network has a single Cisco edge router at the head end with no failover redundancy. A single Cisco PIX firewall is utilized to control security and intrusion detection. Plans are in place to migrate the security appliance to a redundant firewall topology.

The current design provides adequate security and mitigates external risk from the Internet. The Florida Supreme Court provided a positive security audit from the DynTek Corporation noting effective security measures despite very limited resources.

The JIS system operates on a network switched environment that provides the primary connectivity for the network. The speed of the internal network, from machine to machine, is 100 megabits.

7.2. JIS Operating Environment - Software

JIS operates the following software on the hardware described above:

Web Server:

Operating System – Windows NT 4.0 Server
Web Server – Internet Information Server 4.0

Database Server:

Operating System – Windows 2003 Server
Database – Microsoft SQL Server 2000
Application Platform – Metatomix™ ERI platform

Windows NT 4.0 Server

Windows NT 4.0 Server is a proven distributed operating system. However, this version of the operating system is no longer supported by Microsoft. This operating system is over 8 years old and without support no further updates or upgrades will be available for identified problems. This operating system can continue to provide services but will become unmanageable, limit operating features, and will provide a high risk of failure in the near future.

Internet Information Server 4.0

IIS 4.0 is one of Microsoft's first versions of its web server. Although proven, IIS 4.0 is limited in functionality and has shown great security risk over the years. Not unlike Windows NT 4.0 Server, IIS 4.0 is no longer supported and has a high risk of failure and security vulnerabilities.

Windows 2003 Server

Windows 2003 Server is Microsoft's flagship operating system. It is a proven operating system with many upgrades in functionality and security from the NT 4.0 and 2000 Server. It is supported by

Microsoft and a standard among organizations as an operating system. Windows 2003 Server provides many functional upgrades and the ability to scale as resource demands increase.

Microsoft SQL Server 2000

The Microsoft SQL Server 2000 again, is Microsoft's flagship database software. It is a proven database server that is widely used among organizations for web applications and data services. Although proven, SQL Server 2000 will shortly be replaced with SQL Server 2005.

Metatomix™ ERI Platform

The Metatomix™ ERI (Enterprise Resource Interoperability) Platform is a Java based application that runs on top of the operating system and in conjunction with the Web and Database software. ERI provides the ability to poll multiple databases, arrange received data, and present the data in a uniformed web page. The ERI Platform product is operating system and software independent. ERI can be integrated with any JDBC compliant database.

Limitations:

Staff noted that the current JIS system is limited in the software and version of operating system it can currently utilize. This limitation is set by one of the data source entities that JIS pulls data from in order to service requested queries. Plans are in place to upgrade outdated the operating system and related software but JIS is dependent on the data source entity to make this change. Unfortunately JIS is currently limited in the service in can provide from a scalable and balanced standpoint. This will be further discussed in section 7.4.

7.3. JIS Operating Environment - Connectivity

The Florida Supreme Court manages a classic star topology network. The private network connects each of the co-locations to Tallahassee through a dedicated 3 Megabit connection and each sister co-location has a dedicated 3 Megabit connection to each other. This network provides a regionally meshed design that is fault tolerant. For instance, if Tampa's connection to Tallahassee were inoperable, data could traverse the network through a sister co-location to reach the Tallahassee network. The same holds true for all locations. Each co-location also has a separate connection to the Internet. The connections are monitored daily for utilization and upgrades are ordered when capacity reaches 80%.

Each co-location has further dedicated connections to each Circuit Court. These connections are centralized to the co-location and speeds of the connections vary from 768 Kilobits per second to multiple T1 (1.5 Megabits).

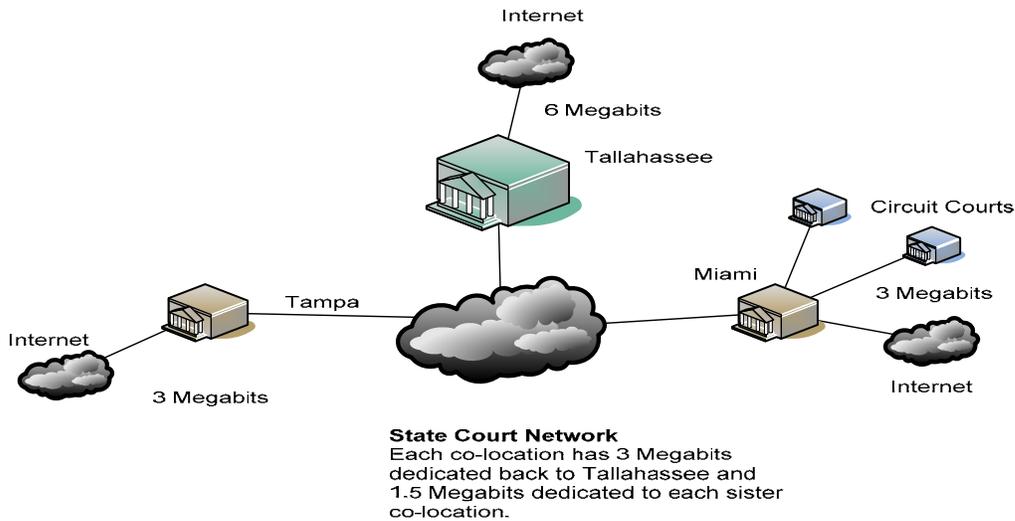


Figure 3:

The network utilizes QoS (Quality of Services) and provides the capability of the network to provide better service to selected network traffic. In addition to JIS, the Supreme Court Network services several applications including video conferencing, Internet access, Lega/Research, and email being the most critical of these. Currently QoS only protects the video conferencing application; however, this can be changed to provide guaranteed service to JIS when required.

Future plans include adding JIS servers to existing co-locations for load balance purposes in addition to including failover systems. However, until the FDLE Mnemonic issue is resolved, adding failover systems will not be an option. Refer to section 10.2 of this report for further details.

7.4. Infinity Analysis of JIS Operating Environment

The operating environment for JIS is average. The design and overall system architecture is simple and effective for the application's requirements. The design complies with industry data mining strategies.

The essence of the JIS system is dramatically different from standard web driven database applications. The requirements for hardware are less demanding and require less complex solutions due to the application merely polling other systems and then displaying those results.

Unfortunately the challenges to JIS limit the design and ability to move forward with a solution that will scale and respond to increased demands. Due to these limitations the only strategy the Supreme Court can pursue is to implement a decentralized system. The architecture and design would be copied and implemented at co-locations when demand outgrows the current centralized solution.

Decentralized applications are common and viable solutions. However, it must be understood that following a decentralized model will require additional management and staffing for the decentralized systems. Decentralized applications also pose additional management to make sure all decentralized site are maintained to the current level of the application. OSCA has designated personnel in the proposed co-locations to handle the management and staffing for the JIS system.

The Supreme Court does not conduct regular backups of system data. Due to the nature of the system and its requirements data backup is not required. However, both Supreme Court staff and the application vendor, Metatomix™, maintain offsite copies of the JIS application.

Supreme Court staff maintains an industry standard data center with full facilities and generator backup. The Supreme Court Disaster Recovery Plan consists of rebuilding the application server at a remote Court facility if local resources are not available. The distributed decentralized system, when implemented, will mitigate this need.

The Supreme Court has adequate connectivity for system performance and acceptable response times. The connection types are industry standard through a proven third party vendor. These connections also have the ability to scale, as required, if demand reaches bandwidth limitations.

The JIS system is appropriately designed for the requirements defined. Hardware equipment is not shared, providing dedicated resources. The Supreme Court could not provide usage statistics since they are not monitored. Application performance has been reported to support 500 concurrent users on the JIS system. With a load of 250 concurrent users, the data mining function of the application is reported to respond within an average of 42 seconds. It should be noted that this result timing is based in large part on the response time from the endpoint data source, and the network's ability to transmit those results¹³.

Since JIS utilizes a third party proprietary application, a risk to future compliance lies with the third party vendor. Application updates and maintenance are the responsibility of the vendor and pose a risk. All future implementations and ongoing support will be decided by the third party and future plans for their product.

¹³ Based on data supplied by Metatomix™



8. JIS Fiscal Process / Funding Sources

Infinity reviewed the funding sources associated with the development and maintenance of the JIS system. Additionally, budget processes were analyzed to provide a complete understanding of past, present, and future expenditures with regard to the system.

8.1. JIS System Development Expenditures

The expenditures associated with each phase of the JIS system are as follows:

PHASE	AMOUNT	DESCRIPTION
Requirements Phase	\$400,000	Funded for JAD sessions and to create the Functional Requirements, Technical Standards, and the statewide Strategic Plan.
Phase 1	\$290,000	Funded from existing grant money to develop this phase of JIS. Included in the purchase was a license for unlimited users, customization of the Metatomix™ product, and program links from JIS to 8 data sources.
	\$21,000	Funded from general revenue to program links from JIS to 2 data sources.
	\$72,500	Funded from general revenue to program links from JIS to 3 data sources with maintenance extended to December 2006.
	\$219,600	Funded from general revenue to program links from JIS to 5 data sources. (Includes 3 years of system maintenance.)
Phase 1 Total:	\$603,000	
Phase 2	\$1.3 Million	Funded from grant money allocated from the Jessica Lunsford Act to enhance and upgrade the JIS system. Enhancements and upgrades include automatic search and notification features, statewide distributed system, and programming links from JIS to 10 additional data sources.

Table 2: JIS System Development Expenditures

8.2. Planned JIS System Enhancements

Requirements Phase

N/A for this section of the report.

Phase 1

N/A for this section of the report.

Phase 2

As was noted in section 2.4 of this report, planned enhancements for the JIS system are pursuant to the requirements placed on OCSA via Jessica Lunsford Act. Phase 2 of the JIS project states its primary goal is to implement a process which will allow for the immediate delivery of information to those qualified parties involved in first appearances in their counties. This will be funded with 1.3

million dollars from the total amount of money provided by the Jessica Lunsford Act and will be accomplished by obtaining real time booking information via the FDLE Live Scan and the Appriss jail booking system and automatically querying those defendants' names from the data sources connected to JIS. The query information will be 'pushed' to specified confidential Jessica Lunsford Act website locations for access by judges, state attorney's, public defenders, and any other individuals qualified to access and view this data at first appearance. The following is a diagram depicting how the information will be obtained, queried, and 'pushed' to qualified system users¹⁴:

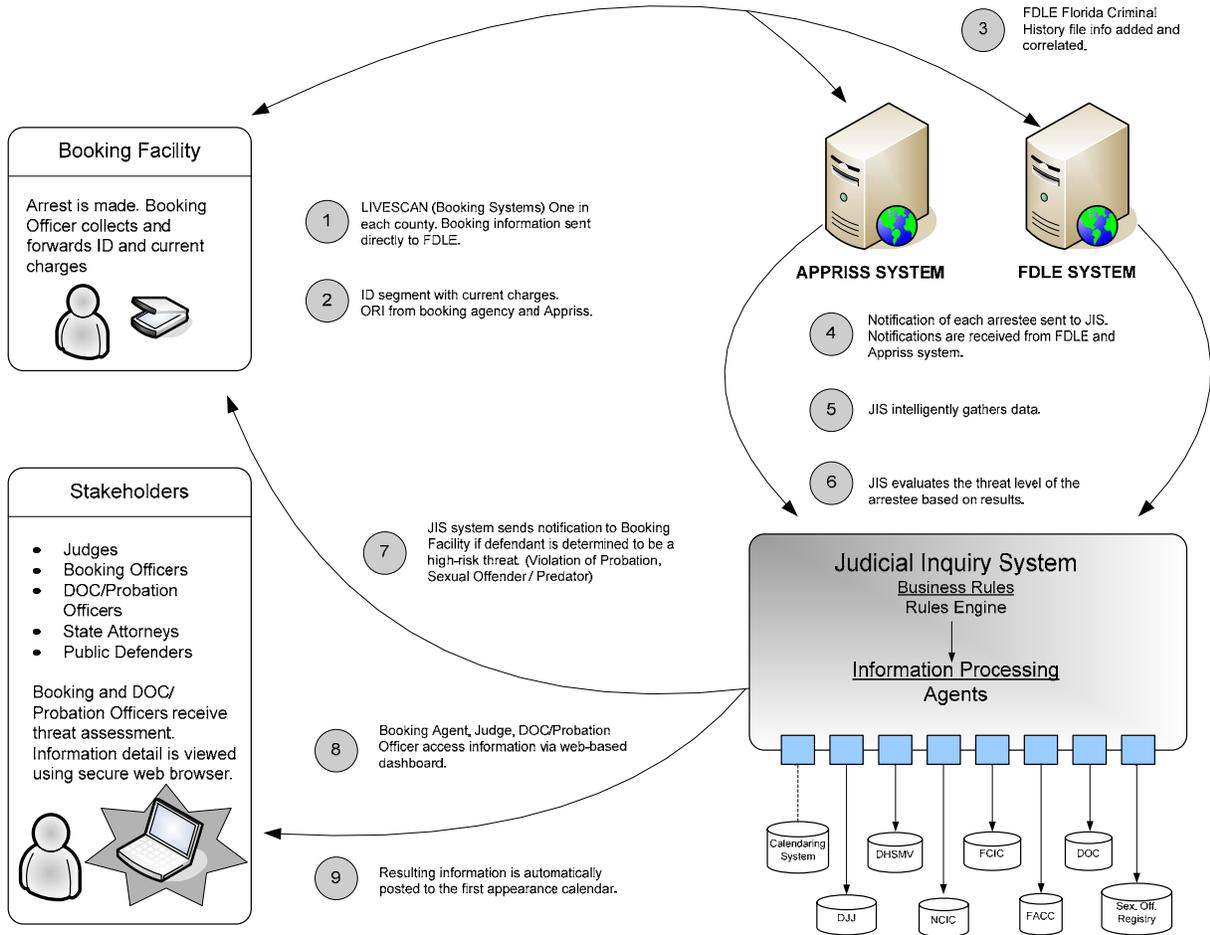


Figure 4: Online Sentencing Automatic Notification Process

Phase 2 will provide links to more data sources and provide for an updated and enhanced dashboard view, specific to user roles. Additionally, the Jessica Lunsford Act Implementation Plan provided by OSCA states,

"In an effort to improve reliability, performance, and information access, it is critical to distribute the current capabilities within OSCA to each of the judicial circuits. In the current implementation of the system all requests for information are routed through the Tallahassee based system. Having one system handle all requests creates an opportunity for a single point of failure. The most effective way to minimize or eliminate this risk is through a distributed and redundant network deployment strategy. By expanding the system through the addition of integrated circuit based "copies" of the Tallahassee functionality, each circuit can not only access information

¹⁴ Diagram provided by OSCA's Jessica Lunsford Act Implementation Plan

through the Tallahassee system, but can also directly access the required information from its local system if necessary."

A potential risk to OSCA's effort to improve reliability and performance comes from an FDLE requirement for JIS system users. As noted in section 3.5 of this report, each user who is FCIC/NCIC certified must be entered into the Active Directory at OSCA with an assigned ORI number and Mnemonic from FDLE in order to obtain a JIS user logon and password. The Mnemonic is issued by FDLE and serves to authenticate the device attempting to access FCIC information. According to FDLE standards, there should be one (or multiple) Mnemonics tied to one port and one IP address. As a result, this would prevent OSCA from initiating the planned failover systems because user queries could not be transferred to another server location/IP address. To date, this issue is being investigated and pursued by OSCA and FDLE.

Phase 2 began in September 2005 and will continue through March 2006. Refer to subsection 3.3 of this report for a complete description of Phase 2 objectives.

8.3. JIS Cost Benefit Analysis

A cost benefit analysis was conducted by Infinity Software Development, Inc. (Infinity) to provide a baseline understanding of the benefits of the JIS system. The following methodology, assumptions, and results were documented:

Executive Summary

The total cost of JIS from conception to maturity will be approximately \$2,506,100. Once fully in place the system is estimated to eventually have 10,000 users across the state. Users save time learning and accessing a single interface to gather valuable information from several databases. The time they save and data they receive are the two main benefits of the system.

The probable time savings sum to thousands and thousands of hours, which equates to millions of dollars in wage savings. The real time criminal history data provided by the system will be used in determining availability and conditions of release on bond.

When bond is not available it will be because the suspect has several similar convictions or pending cases for a crime that is serious and devastating to the victim. For every habitual criminal that is held without bail during the judicial process means less citizens who will be the victim of a violent crime. This reduction in crime and victimization represents the greatest real benefit this system can offer taxpayers.

Methodology

The costs and benefits of this system are spent and realized over a long timeline that continues into the future. Hence certain estimates had to be made for the purposes of this analysis. The costs of this system are based on the reported data that Infinity has received. The number of users at maturity is based on the present system statistics and observed growth rates. The assumptions made regarding the benefits are explained below.

Benefits

A primary benefit derived from using the JIS system is information. This is difficult to quantify and unpleasant to discuss but is of vital importance. Imagine a rapist from Key West ends up appearing before a Wakulla county judge. The judge, having knowledge of the defendant's prior convictions or pending criminal cases, would most likely affect the judge's decision whether to grant bail. The benefit of preventing a violent crime has no measure; however the usefulness of accurate legal data has obvious positive present and future value for all citizens.

Crime Statistics & Economics

According to the Florida Department of Law Enforcement (FDLE) during 2004 there were 946 murders, 12,427 sexual crimes, and 850,490 total crimes. The exact cost of these criminal acts is immeasurable. However, it is reasonable to believe that the cost is very high. Suppose a person is a

victim of such a crime and he or she reports the crime, this begins a long process involving many professionals.

Police officers are dispatched to initially respond, medical personnel treat the victim and gather any physical evidence, and detectives investigate the crime. Suppose a suspect is found, brought to trial, and convicted. He or she then enters a correction facility staffed with many correction officers. After serving their sentence he or she may be released on probation. This involves a probate officer. This chain of events could easily be assumed to cost thousands and thousands of tax payer dollars. Furthermore, the victim most likely loses time from work during recovery, perhaps requires visits to a counselor, and worst of all, he or she has lost part of their personal security in a way that can never be repaired or indemnified.

Each crime has a different frequency of recidivism. Merriam Webster defines recidivism as a tendency to relapse into a previous condition or mode of behavior; especially relapse into criminal behavior. Unfortunately sexual predators are a breed of criminal with a very high level of recidivism. These factors make identifying them very important.

Due to the aforementioned modalities it is assumed that on average each crime costs \$5,000. This figure in theory is an aggregate of tax payer funds, victim expenses and costs, and money from charitable organizations. Skeptics should remember that a capital murder case can cost the state hundreds of thousands of dollars.

Conclusion

Holding a habitual criminal without bail has the possibility of preventing a crime. Since the number of crimes prevented could never be accurately known the results presented in Table 7 outline five possible scenarios ranging from 1 prevented crime to 400 prevented crimes.

The time savings alone make the JIS an economically sound investment, the inclusion of possible reduced criminal costs increase the potential value, and the strong chance of preventing some families from suffering from a criminal act makes the benefits eclipse the costs.

Rounding

Please note all aggregate dollar figures are rounded to the nearest whole dollar.

Period	Cost	Source
Phase 1	\$290,000	Grant
	\$21,000	General Revenue
	\$72,500	General Revenue
	\$219,600	General Revenue
	\$72,500 (maintenance fee after 1st year - to increase as data sources are added)	General Revenue
Phase 2	\$1,300,000	Jessica Lunsford Act
Total Cost	\$2,578,600	

Table 3: Judicial Inquiry System (JIS) Costs

Florida Population	Murder	Sexual Crimes	Total Crimes
17, 516,732	946	12,427	850,490

Table 4: 2004 Crime Statistics





Estimated Cost Per Crime	Total Annual Cost of Crimes	Per Capita Cost
\$5,000	\$4,252,450,000	\$243

Table 5: 2004 Estimated Crime Economics

Project Development	JIS Users	Time Saved	Wages Saved	FTEs
Beginning	500	20,658	\$464,814	10.3
	1,000	41,317	\$929,628	20.7
	2,000	82,634	\$1,859,256	41.3
	5,000	206,584	\$4,648,140	103.3
	7,500	309,876	\$6,972,210	154.9
Maturity	10,000	413,168	\$9,296,280	206.6
*Assumes 10 minutes per use and 1 use per day.				
*Assuming Data Workers cost the state of Florida \$45,000 on average.				

Table 6: Projected Time Savings

	Total Cost	Time Savings	Crimes Prevented	Crime Savings	Net Benefit
A	\$2,506,100	\$9,296,280	1	\$5,000	\$6,795,180
B	\$2,506,100	\$9,296,280	50	\$250,000	\$7,040,180
C	\$2,506,100	\$9,296,280	100	\$500,000	\$7,290,180
D	\$2,506,100	\$9,296,280	200	\$1,000,000	\$7,790,180
E	\$2,506,100	\$9,296,280	400	\$2,000,000	\$8,790,180

Table 7: Projected Benefit Scenarios

8.4. Infinity Analysis of JIS Fiscal Process / Funding Sources

Requirements Phase

N/A for this section of the report.

Phase 1

During the Requirements Phase the Functional Requirements document specified information vital to judges in order to dispatch their statutory duties. These Requirements provided the foundation for the JIS system. Thus, having the Requirements prior to hiring a vendor saved the time and expense associated with the process of creating a Functional Requirements document.

OSCA utilized \$290,000 from existing grant money for the development of the JIS system. During the remainder of Phase 1, \$313,100 was used from OSCA's general revenue to complete development. By the end of Phase 1, JIS was linked to 16 data sources. The system was completely developed and ready for production. It appears as though OSCA made every effort to develop JIS within a strict budget. The use of existing Metatomix software, customized to JIS requirements, decreased the cost of development. The Statement of Work document, created by OSCA prior to development, provided an organized breakdown of tasks and the costs associated with those tasks. This ensured the JIS system was developed on time and within budget.



Phase 2

With the creation of the Jessica Lunsford Act, OSCA is required to create a process that will allow for the immediate delivery of information to those qualified parties involved in first appearance in their counties. OSCA received 1.3 million dollars from the total amount of Jessica Lunsford Act money to establish this goal. In addition, several additional data sources will be linked to JIS as well as 10 additional servers located throughout the state to improve system reliability and failover support. With the creation of a document that clearly states the intended objectives for Phase 2, along with the billable value of each deliverable, OSCA is on its way to completing Phase 2 in the same efficient and fiscally-minded manner in which Phase 1 was created. Additionally, OSCA has created a system that requires no additional expenses to its system users.

Analysis Conclusion

JIS provides a powerful tool for its users with no expenditures required to access it. Additionally, the creation and maintenance expenditures of the JIS system is appropriate in comparison to the features it provides. Initial maintenance expenditures of \$72,500 have been approved through OSCA's general revenue budget. As data sources are added, increased maintenance fees must be approved through OSCA's budget request process. This should not pose a problem as all expenditures and development have been documented and approved prior to implementation.

9. JIS System Security Model

Infinity reviewed the information required to become a JIS user, the MOU's established between OSCA and the data source entities, and the user role spreadsheet that is maintained by OSCA to gain an understanding of the JIS Security model. This section provides the results of that review.

9.1. Access Requirements

Requirements Phase

N/A for this section of the report.

Phase 1

Refer to section 3.4 of this report.

Phase 2

Refer to section 3.4 of this report.

9.2. User Roles

Requirements Phase

During this phase, judges were asked to identify the information they required to perform their duties. As a result, the Functional Requirements document listed the information requested by judges. Not all JIS users are judges therefore, the information available to other users may be different. This phase only documented roles associated with judges and as such, they are allowed access to all data sources available in JIS, contingent upon their judge type i.e., criminal vs. civil.

Phase 1

As data source entities were identified and linked to JIS, roles were created in conjunction with each entity's access rules and requirements. OSCA incorporated the data source entities' requirements into a spreadsheet that defines a user's role based on their title/position and the data sources they are authorized to access. (For example, public defenders will not be able to view photos or signatures and certain users may not view the FDLE Hot Files.)

It is worth noting that only governmental agencies will ever be granted access to JIS. This will preclude private entities from accessing JIS data. The following users/roles were identified in the aforementioned spreadsheet:

- Judges
- Judicial Assistants
- State Attorneys
- Case Managers
- Pre-Trial Services
- Law Enforcement
- Parole Commission

Phase 2

A potential addition to the user category within JIS will be the Public Defenders Office. Public Defenders are not considered a criminal justice entity which precludes them from obtaining access to CJNet. However, they can view pieces of data from the Department of Highway Safety and Motor Vehicle's 'DAVID' search system excluding drivers' photos and signatures. To provide for Public Defenders and other users, OSCA is proposing to become its own Certificate Authority. This will allow OSCA to approve users for the JIS system but limit the type of information they can view based on each data source entity's requirements. This is discussed further in Section 10.1 of this report.

9.3. System Access Policies, Procedures, Agreements

Requirements Phase

N/A for this section of the report.

Phase 1

Once a user requests access to JIS, and upon meeting the criteria for access to each data source entity's information, the user must obtain a Digital Certificate through FDLE. This certificate provides the user with access to DHSMV's 'DAVID' information system. Per Florida Statute 322.142 (4), only law enforcement users are allowed to access an individual's driver's license photo and license signature. As all JIS users are required to obtain a digital certificate, this ensures that only authorized users have access to information provided by 'DAVID.' However, JIS has the capability to define user roles and allow access to the information specified by the data source entities.

The JIS system is designed to only accept users who have obtained a digital certificate and with proper logon and password authorization. Security and access to the JIS system is always contingent upon the data source entity's rules and requirements. Prior to any data source being linked to JIS, a thorough and documented review of data access and protocol are conducted by OSCA and Metatomix™. This ensures only authorized users are provided access to that data source entity's information.

To maintain the integrity of the information displayed from JIS, no user can alter or delete data from the system. Additionally, the MOU's between OSCA and each data source entity establish that JIS will not distribute as public record any information retrieved from the data source entities. This is predicated upon the fact that JIS is a 'query only system' and does not store or maintain any data for longer than 30 minutes. However, information stored in the online sentencing system will be maintained for longer periods of time. OSCA believes that since they are not the creators or administrators of the information displayed in JIS, they should be exempt from public records in order to maintain the integrity of the information retrieved from each data source and to protect the identity of the users gaining access to JIS.

Phase 2

Phase 2 will provide the same strict security and access guidelines as adhered to in Phase 1.

9.4. Infinity Analysis of JIS System Security Model

Requirements Phase

N/A for this section of the report.

Phase 1

The JIS system is designed to prevent unauthorized users from gaining access to its data. This is accomplished through the requirement of a digital certificate, the issuance of a logon and password from OSCA, and the use of firewalls. Additionally, access to JIS can only be accomplished through a secure connection. All connections to JIS are encrypted and meet minimum FLCJN data transport encryption standards. During Infinity's hands-on review of the system, an OSCA/JIS employee logged on to JIS to provide access to the system's features. This employee believed their access was for all data sources to include FDLE information. However, a series of searches revealed no results from FCIC/NCIC. When brought to the staff's attention, it was determined that the role for that employee had not been upgraded to accommodate for their current position with JIS. Consequently, a test of access based on role assignment was conducted and it demonstrated that JIS ensures users only obtain information based on their established role within the system.

Phase 2

Phase 2 will provide the same strict security and access guidelines as adhered to in Phase 1.



Analysis Conclusion

JIS adheres to strict security and access guidelines as established by its data source entities. The use of a digital certificate, username/password, and encryption standards all work toward securing the information provided by the JIS system.

10. JIS Statewide Deployment Plan

Infinity Software Development, Inc. (Infinity) reviewed the security and access policies associated with the JIS system. Additionally, discussions were held with personnel from OSCA to determine future issues and plans associated with the statewide deployment of the JIS system.

10.1. Security and Access Policy Issues

Requirements Phase

N/A for this section of the report.

Phase 1

Refer to Section 9.3 for security and access policy information pertaining to Phase 1 of the JIS system.

Phase 2

Phase 2 will provide the same strict security and access guidelines as adhered to in Phase 1. During Phase 2, OSCA will proceed with a proposal to become its own Certificate Authority. This will allow OSCA to approve users for the JIS system but limit the types of information they can view based on each data source entity's requirements and the user's role. It will also streamline the process for setting up new users. DHSMV has agreed to accept certificates issued by OSCA as long as the existing criteria are used for issuing them.

It should be noted again that public records requests are an issue for JIS, especially in Phase 2. As the online sentencing system is enhanced, the need to maintain information for longer periods of time exists. As the JIS system is currently not exempt from public records laws, a concern exists regarding the integrity of the data and the protection of the system users. OSCA is proposing that the legislature grant JIS exemption from public records based on the fact that they are not the creators or administrators of the information queried and displayed by the JIS system.

10.2. Data Integration and Data Integrity Issues

Requirements Phase

N/A for this section of the report.

Phase 1

Once a data source entity was identified as a potential partner in the JIS system, a review of that entity was conducted to include the following information:

- Detailed security requirements
- Physical Connection requirements
- Communication protocol definition
- Basic infrastructure definition (network descriptions, IP addresses, database platforms, etc.)
- Database structure specifications, transaction formats, or application programming interface rules and requirements
- Logistics of data transfer

OSCA and Metatomix™ ensured that all requirements for each data source entity were acknowledged, documented, and adhered to. Additionally, because JIS is a 'query only' system, users cannot alter or delete any information displayed on the JIS dashboard.

Phase 2

A major feature of Phase 2 development for JIS is to extend it into a statewide distributed system. This concept will include 10 server locations to balance the load of user requests as up to 10,000

users are anticipated to eventually have access to the system. Included at the server locations will be 'Failover' systems that will route users to other servers if the one they are assigned to fails. The below graphic demonstrates where the servers will be located.¹⁵

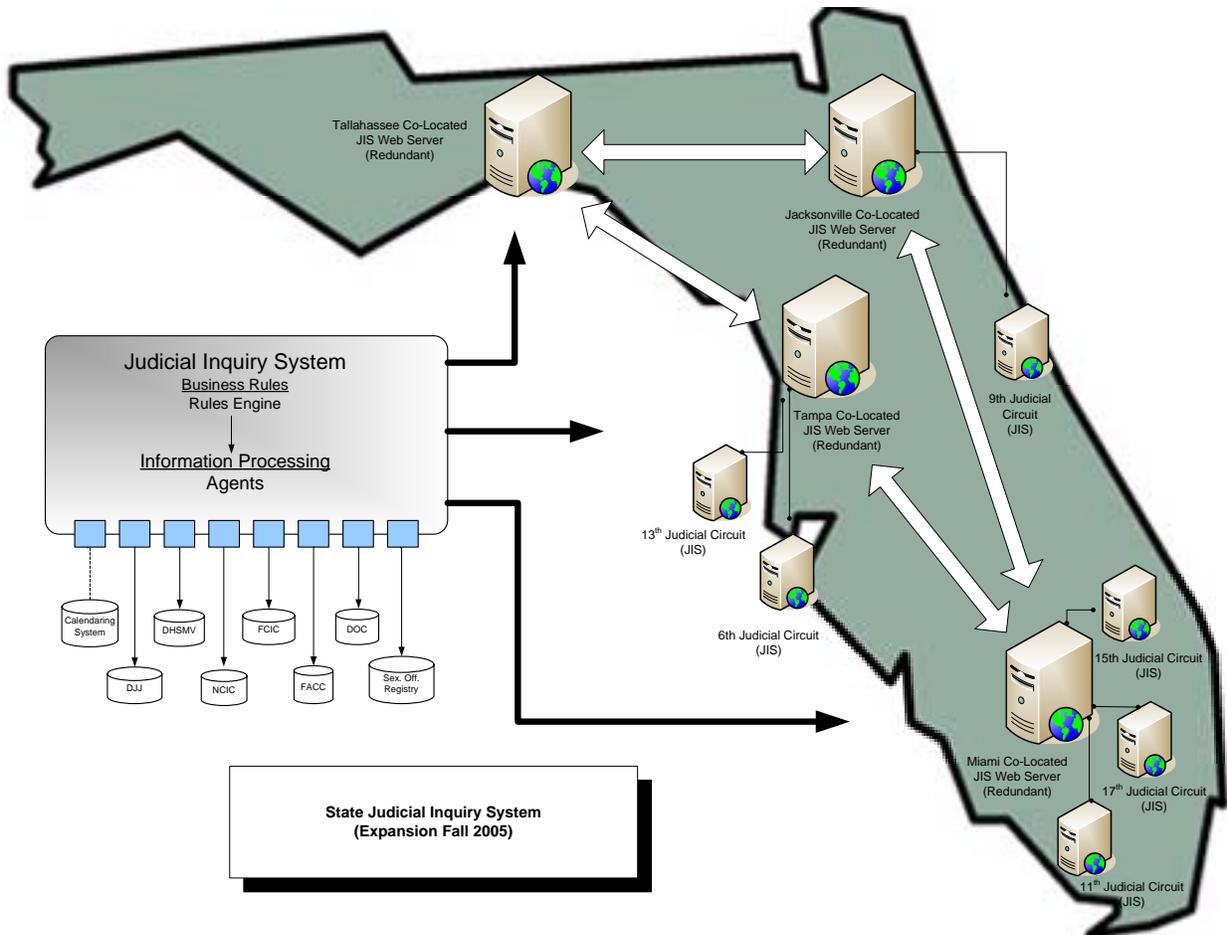


Figure 5: JIS Server Co-Locations

As was noted in section 8.2 of this report, a potential risk to OSCA's effort to improve reliability and performance comes from an FDLE requirement for JIS system users. Each user must be entered into the Active Directory at OSCA with an assigned ORI number and Mnemonic from FDLE in order to obtain a JIS user logon and password. The Mnemonic is issued by FDLE and is the identification number for the user's computer where the JIS request is originating. According to FDLE standards, there should be one (or multiple) Mnemonics tied to one port and one IP address. This allows FDLE to verify the device attempting to access FCIC information. As a result, this would prevent OSCA from initiating the planned failover systems because user queries could not be transferred to another server location/IP address. Currently, OSCA and FDLE are researching and pursuing solutions to this issue.

Additionally, Phase 2 will accomplish the requirements set forth in the Jessica Lunsford Act of ensuring all circuit and county courtrooms are outfitted with the necessary hardware, software, and wiring to receive information as required by the Act. It should be noted that the remainder of the Jessica Lunsford Act money will be used to accomplish this, not the \$1.3 million earmarked for the objectives listed in section 3.3 of this report.

¹⁵ Graphic provided by OSCA's Jessica Lunsford Act Implementation Plan

10.3. Operational Governance Issues

Requirements Phase

N/A for this section of the report.

Phase 1

As noted in section 5.3 of this report, oversight for the JIS system is provided by the assigned project managers of OSCA (Chris Blakeslee) and Metatomix (Christian Barr). It is their responsibility to ensure the project is being conducted according to the stated objectives and within the agreed upon budget. Data source entities will ensure that the MOU's are being adhered to and will voluntarily provide JIS with access to updates and data format changes as necessary. Additionally, key stakeholders will have an avenue to report concerns, issues, and system change requests. It should be noted that data source entities may perform scheduled audits of the JIS system, pursuant to their specific data, to ensure adherence to security and access guidelines. OSCA as agreed to facilitate audits from any data source entity.

Phase 2

See above statement for Phase 1 Operational Governance Issues.

10.4. Projected Expenditures for Statewide Deployment

Requirements Phase

N/A for this section of the report.

Phase 1

N/A for this section of the report.

Phase 2

Phase 2 is funded via the Jessica Lunsford Act. Of the total amount of money provided by the Act, \$1.3 million will be used to implement those requirements specified for OSCA and the JIS system. Refer to sections 2.4 and 8.2 of this report for expenditure details as they relate to Phase 2 of the JIS system. Additionally, maintenance fees will increase as data sources are added. To date, current fees are budgeted through OSCA's general revenue. Additional fees will be submitted for approval via OSCA's budget approval process. Refer to section 6.3 of this report for a breakdown of maintenance expenditures as they relate to additional data sources.

10.5. Infinity Analysis of the JIS Statewide Deployment Plan

Requirements Phase

N/A for this section of the report.

Phase 1

During Phase 1 of the JIS project, careful review and analysis of each data source entity's requirements for connecting to JIS were conducted. Metatomix™ incorporated each entity's specifications in the Functional Description and Technical Specifications documents. Although these documents are confidential due to proprietary technical information, Infinity was granted permission to review the documents at the Tallahassee OSCA location. The documents were thorough and accomplished the stated objectives. Phase 1 JIS features provided a solid foundation on which to expand and enhance the system through its system architecture, intuitive dashboard, and professional partnerships with key data source entities.

Phase 2

As Phase 2 is currently in progress, Requirements and Technical documents were unavailable for review. However, the stated goals for Phase 2 are clearly outlined in the Objectives document as

reported in section 3.3 of this report. Additionally, the use of server co-locations will allow JIS to balance the volume of queries it receives throughout the state as opposed to utilizing one server. This will allow the system to grow with its anticipated users. Refer to section 7 of this report for detailed information regarding the operational environment of the JIS system and its ability to accommodate future users.

A risk to Phase 2 statewide distribution is the issue of the FDLE Mnemonic requirement. As user volumes increase, it will be imperative to provide redundant servers throughout the state to maximize the availability and reliability of the system. An agreement must be reached between FDLE and OSCA before this aspect of Phase 2 can continue.

As the number of JIS users increase, some are concerned the volume of queries will heavily impact the data source entity's systems. Data source entities may experience a high impact to their systems as a result of JIS gaining more users. As this system is deployed incremental costs will be incurred by entities to accommodate new users.

Special Consideration: JIS as a Model for Statewide Integration

If JIS is to be used as a model for statewide integration, it has several advantages:

1. It is a web-based application, allowing for simple distribution and management (i.e., it is very easy to expand to new user groups);
2. OSCA and Metatomix™, the organizations supporting JIS, are experienced software developers, particularly in this domain (i.e., court and related data);
3. Adding connections to new sources of data is relatively straightforward and inexpensive;
4. Ongoing maintenance costs are quite reasonable;
5. Although part of the JIS solution is proprietary, OSCA has secured rights to all necessary software and intellectual property for the indefinite future;
6. The joint application development methodology used by OSCA during the requirements phase was excellent, and could be copied for future efforts¹⁶;
7. The system provides the broadest possible base of source data, since JIS users (if authorized) can view criminal history and other restricted data sources; and,
8. The system has a successful track record of meeting user needs, adhering to security access protocols, and performing up to industry standards.

However, we do have several recommendations to make JIS a better model for statewide integration. Some of these recommendations are mentioned in other sections of the report, but are repeated here when applicable.

1. The current hardware and software infrastructure of JIS is not sufficient to support a large increase in use. OSCA is planning to improve its capacity (and redundancy) by implementing up to ten "co-locations". If implemented, the "co-location" approach should be sufficient. We deem this solution, or a similar one, absolutely necessary if JIS is to be used as the core system of a statewide integration model;
2. As discussed in Section 3.6, the documentation practices, particularly project management documentation, must be improved. As also mentioned earlier, this issue has improved since beginning Phase 2.

Analysis Conclusion

OSCA has thoroughly documented the objectives to be completed for Phase 2, which will allow JIS to become a statewide distributed system. This is contingent upon an agreement between FDLE and OSCA with regard to the issuance of Mnemonics. Additionally, Phase 2 will accomplish the

¹⁶With one exception: formal minutes were not taken or reviewed. We strongly recommend that minutes be taken in future meetings as specified by most needs assessment methodologies.



requirements set forth in the Jessica Lunsford Act of ensuring all circuit and county courtrooms are outfitted with the necessary hardware, software, and wiring to receive information as required by the Act.

11. CCIS Overview

The Comprehensive Case Information System (CCIS) was developed as a means to improve the cost and efficiency of sharing court case information with the judiciary. In November 2001 the Florida Association of Court Clerks & Comptroller, Inc. (FACC) introduced the concept of the CCIS to Florida's Clerks of Court as a means to meet the requirements of section 29.008, Florida Statutes (F.S.). This statute establishes the requirement for counties to fund the cost of communications services used by judges, clerks of the circuit and county courts, public defenders, state attorneys, etc., in the performance of court-related functions. The section also establishes the requirement for, "...reporting data to the state as required for the transmission of revenue, performance accountability, case management, data collection, budgeting, and auditing purposes". The over-arching objective of the CCIS Project is to phase-in an integrated comprehensive case information system that meets these statutory requirements and stakeholder needs.

CCIS is a secured Internet portal providing a single point of search for statewide court case information maintained by the Clerks of Court. Authorized users may access CCIS from any Internet-capable computer through the MyFloridaCounty.com web portal (www.myfloridacounty.com/ccis) 24 hours a day, every day of the year. There are currently four (4) primary and three (3) secondary services available through CCIS.

The primary CCIS services are:

1. Person Search
2. Case Search
3. Court Calendars
4. Reports

The secondary CCIS services are:

1. IPNS (Identified Person's Notification System)
2. TCATS (Traffic Citation Accounting and Transmission System)
3. Child Support Inquiry

A revision to the Florida Statutes (s.28.24.(12).(e).(1)) mandates that all clerks participate in CCIS on or before January 1, 2006. The statute also provides for a revenue source (recording fee) which is distributed to FACC for the cost of development, implementation, operation, and maintenance of CCIS. As of October 2005 a total of 52 of Florida's 67 counties were operational on CCIS, with the remaining 15 counties scheduled for completion by December 31, 2005. Monthly collection of CCIS revenue from recording fees began in July 2004. As of August 30, 2005, a total of \$4,558,674 has been received.

CCIS serves many user groups, including: judges and judicial staff, court administration, state attorneys and public defenders, law enforcement, guardians ad litem, county pretrial release officers, legislative staff, Clerks offices staff, and staff from multiple state agencies. Multi-level user access is governed by stringent CCIS security policies including encryption and password protected access, signed security agreements by each individual user, and other measures.

CCIS data is provided from each local Clerks' system from the following data sources: probate, traffic, juvenile, civil, criminal, and child support. This data (with the exception of any linked progress dockets and images) is stored in a "data warehouse" located at the FACC facility in Tallahassee. Incremental data updates are transmitted daily from each of the participating counties to the data warehouse via the secure Clerk of the Court Local Entity Repository Collection System (CLERC) network. User defined searches for court case information are conducted on this stored data. Direct links to local Clerks' sites are provided for any progress dockets and images not stored in the data warehouse.

CCIS program developmental and operational policy and oversight is conducted through a CCIS Program Committee established and appointed pursuant to the by-laws of the FACC. The Program Committee is responsible for establishing operational policies, providing program oversight (including reporting quarterly to participants on the activities and status of the CCIS program), reviewing and approving

recommendations of the CCIS Configuration Control Board (CCB), and recommending the annual budget and work plan to participants. The current members of the CCIS Program Committee are:

- Hon. Karen Nicolai (Chair)
- Hon. Ken Burke (Vice Chair)
- Hon. Tim Smith
- Hon. Howard Forman
- Hon. Ray Norman
- Hon. Marsha Ewing
- Hon. Barbara T. Scott
- Ms. Martha Haynie (ex-officio)

The following eleven foundational objectives for CCIS provide project policy, oversight, and direction:

1. Provide statewide and circuit-wide access to case information based on individual and case specific query through a single seamless secured Internet point of access.
2. Provide a means for reporting performance and accountability measures.
3. Provide a means for reporting collection/remittance of court monetary assessments.
4. Reduce barriers associated with multi-jurisdictional sharing of information.
5. Provide access to and sharing of case information, while maintaining the integrity and accuracy of Local Case Maintenance Systems.
6. Provide uniformity by:
 - Simplifying and standardizing the search for case information from initial arrest or filing through disposition, covering all case types, on a statewide basis.
 - Reducing resources devoted to manipulation, storage and retrieval of case information.
 - Reducing errors and subsequent reconciliation.
 - Improving overall efficiency and accuracy.
7. Provide the capability to generate reports and statistics in a rapid, concise manner.
8. Provide ease of use and minimal training of users on the Web browser interface.
9. Assist local and state users in realizing the full potential of existing infrastructure and investments.
10. Provide a scalable, flexible foundation with open standards architecture.
11. Provide ability to integrate with other court and agency systems.

CCIS development methodology is based on five principles:

1. Information access based on requirements of user agencies and organizations.
2. System development based on utilization of existing local and statewide technology infrastructure.
3. System will not be operationally intrusive to local systems.
4. System to maintain security of local systems.
5. System access based on single statewide access point.

Following a four-phase development and implementation plan, the CCIS project began in November 2001 and is on schedule to complete its statewide rollout by December 31, 2005. The following timeline illustrates these phases:

CCIS Timeline Graphic

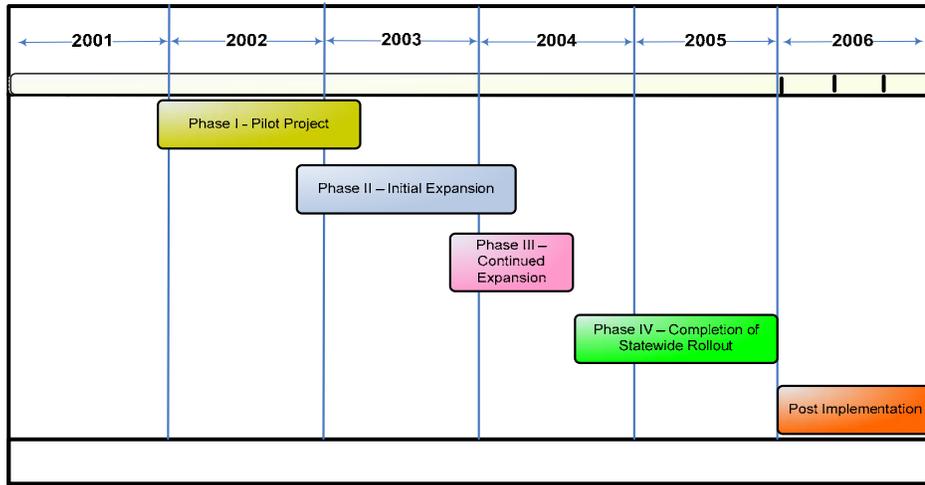


Figure 6: CCIS Implementation Timeline

Phase I – Pilot Project

Phase I design and development began in November 2001 after approval of the initial vision. The pilot of the project consisted of the Clerks of Court in the 14th Judicial Circuit (six counties) and was also funded by them. The main objective of this phase was to produce a proof-of-concept version. CCIS became operational in July 2002, providing the initial functionality of case search, court calendar, and ad hoc reporting. Development of progress docket search functionality was added mid-Phase. The Phase I baseline pilot project was completed on March 31, 2003.

Phase II – Initial Expansion

Best practices realized from Phase I and a series of joint application development (JAD) sessions with various state agencies and organizations resulted in the identification of requirements for Phase II. Phase II commenced in October 2002 when funding was received from the Federal Byrne Local Share 5% Set-Aside Funds. Phase II expanded the CCIS project by assimilating four additional Judicial Circuits (2nd, 3rd, 17th, and 20th) and their 19 respective counties. Phase II provided the basic functionality, excluding progress docket, along with several additional enhancements. Phase II was completed on March 31, 2004.

Phase III – Continued Expansion

Phase III began in October 2003 and was completed on June 30, 2004. This phase was an incremental extension of the CCIS rollout, made possible by a grant from the Florida Department of Children & Families. The six counties of the 8th Judicial Circuit were included in Phase III. No additional functionality was added in this phase as the focus was on continued expansion based on available funding.

Phase IV – Completion of Statewide Rollout

With the aforementioned revision to the Florida Statutes (s.28.24.(12).(e).(1)) mandating clerk participation and providing a funding source, Phase IV began on July 1, 2004 and will be completed on December 31, 2005. During this phase the remaining 36 counties from 14 Judicial Circuits will implement CCIS. Additionally, significant hardware, software, and network infrastructure upgrades will be accomplished. Core functionality, including progress docket, and additional system integration



enhancements are provided. The increased number of participating clerks will also increase the amount of court case information made available to all authorized users.

Post Implementation

Upon completion of the statewide implementation and rollout of CCIS in January 2006, the focus of the project will shift to operations and maintenance support, user satisfaction/needs assessments, and the development of follow-on system enhancements¹⁷.

¹⁷ e.g., Unique Identifier (ADL), agency specific web services, increased Article V requirement reporting, sexual predator notification, expanded system links to outside agencies, and performance and accountability reporting.

12. CCIS Design and Development

12.1. Requirements of Needs/Requirements Analysis/Functional Requirement Process

Phase I

The original needs requirements for CCIS were established in the Fall of 2001 by the 14th Judicial Circuit judiciary in conjunction with the development of the initial prototype phase (Phase I). A CCIS Program Committee was formed to analyze the needs requirements and establish the functional requirements.

On September 11, 2002, the adoption of the following CCIS Program Policy established the baseline criteria for CCIS requirements. (The Policy was reaffirmed on January 26, 2005.)

- I. Continue with Development of CCIS based on the objective of providing a statewide single Internet point of access to case information collected and maintained by the Clerk of the Court. This system shall not interfere with the operations of any information systems operated by individual clerks in their respective offices.
- II. The system functionality of the CCIS Web Portal will be based on the needs of each user group.
- III. All access, including state approved networks, to the CCIS database will be obtained through the use of the secured CCIS Web Portal.
- IV. Data obtained through the CCIS Web Portal and subsequently restructured and/or interpreted shall not be the responsibility or liability of the CCIS or the Clerks of the Court.
- V. Seek legislative authority for system funding and require CCIS program participation by Clerks of the Court.
- VI. Authorized governmental users of CCIS shall have access to the Web Portal at no cost.

Phase II - IV

Requirement collection and refinement continued during Phases II - IV by means of JAD sessions, workshops, and system development meetings with the Trial Court Technology Committee (TCTC), Office of State Courts Administrator (OSCA), Deloitte/NIC (National Information Consortium USA, Inc., a software development vendor), and multiple user groups. Documentation from these meetings, including reports such as the Trial Courts Needs Assessment Project Functional Requirements Document, helped to further define the CCIS requirements for the judiciary and non-judicial state agencies.

In April 2003, the Functional Requirements Document contained within the Florida Supreme Court's Administrative Order 03-16 detailed approximately 1,373 data elements required of the Trial Courts. An additional 55 requirements were identified during clerk-held CCIS JAD sessions with state agencies and non-court organizations, and in a Senate report.

A Data Dictionary Workgroup was established and developed a data element dictionary from the identified data object and data element requirements. The initial data elements identified in Phase I were used to develop the CCIS Interface Control Document (ICD). The ICD has been revised as additional data requirements have been added to the CCIS project.

In January 2005, the Program Committee formed the CCIS Configuration Control Board (CCB). The purpose of the CCB is to review CCIS design changes for Program Committee approval, and to ensure that the CCIS continues to be a "user-driven" application. The CCB will become operational after the Phase IV statewide rollout is complete.

12.2. Requirements (Procedures) for Participating Entities

As stated in Section 11, *CCIS Overview*, above, Section 28.24.(12).(e).(1) of the Florida Statutes

mandates that all clerks participate in CCIS on or before January 1, 2006. The 67 individual county Clerks offices, referred to as CCIS “participants”, are the sources from which CCIS data is obtained. During CCIS implementation, data is transmitted from the Clerk’s local court system to the CCIS data warehouse by means of a full upload, followed by incremental updates on a daily basis. Data that is not sent/stored at the CCIS data warehouse (including many progress dockets and most images) can be accessed by a link to the local Clerk’s system from CCIS. Participants are required to sign a Memorandum of Understanding (MOU) with FACC for technical support and implementation of CCIS. The FACC has informed those counties not utilizing the Court Case Management System (CCMS)¹⁸ that they are eligible to be reimbursed for local implementation costs from designated CCIS project funds. The total estimated amount of reimbursements for all eligible counties is \$629,013. To date, none of these counties have presented invoices for CCIS implementation costs and, therefore, no reimbursement funds have been paid out.

12.3. Requirements (Procedures) for System Users

FACC requires that all potential CCIS users complete a User Security Agreement/Application indicating their name, job title, agency, and the CCIS information to be accessed. This agreement informs the potential user about the sensitive nature of the information provided by CCIS and the laws and policy governing distribution/access of this information. FACC reviews the application to determine the level of access to be granted (Level 1 through Level 6) and issues a login name and password. Currently, CCIS usage is limited to the court system, state attorneys, public defenders, law enforcement, and state agencies

12.4. Infinity Analysis of CCIS Design and Development

The results of information gathering regarding the initial functional requirements of CCIS appear in several documents, however, there is a lack of substantial evidence (i.e., detailed meeting minutes) about the methods employed to collect this information. As project phases progressed, software development requirements appear to have been documented more effectively. The CCIS Interface Control Document (ICD) is a document used by FACC to define the data elements and format requirements regarding connectivity to source data. This document appears to have been maintained throughout all phases of the project.

While it is evident that most functional requirements were captured and implemented, analysis has revealed a lack of consistency in the methodology used for data collection. While evidence shows that other requirements were captured (not necessarily related to source data connectivity), context was difficult to determine from an analyst’s perspective. For example, there might be a list of requirements, rules, or tasks, but little indication of how they came to be. Also, there was little evidence to suggest that tasks were estimated at the detailed level determined from requirements meetings. This may have been more evident at the time of project execution, but it does suggest a need for a more formal software development methodology, such as the Microsoft Solution Framework (MSF) where project phase stages are more distinct and the determinations of each stage are easily translated to the next stage. It should be noted that at the time of this analysis, FACC was in the process of phasing in the IT Infrastructure Library (ITIL) methodology. This widely accepted approach to IT service management has facilities for formalizing the software development process.

Infinity recommends stricter project management and design documentation be adopted. The FACC Services Group (FACCSG)¹⁹ has committed to using ITIL, a leading software development methodology, so progress may be under way. Some specific recommendations to consider are:

¹⁸ “CCMS is a suite of court case software applications designed to meet the operational needs of small and medium sized counties. FACC began working with the application in October 2000. The programs meet statutory compliance and all State and local reporting requirements, but also allow a level of flexibility through the use of user defined codes. The court system applications include: Civil Case Maintenance, Jury and Witness Management, Probate Case Maintenance, Recording and Indexing, Traffic Case Maintenance, and Offender Based Transaction System (OBTS).” *FACC Technical Programs & Services* (FACC Services Group, LLC)

¹⁹ The FACC Services Group, LLC (FACCSG) is a wholly owned subsidiary of FACC established to serve as the business arm of the organization with responsibility for “non-traditional” association related services and activities.

1. Timelines should be created at a level of detail such that all tasks are no more than five business days long.
2. All tasks should have a single, named person responsible for the task, even if additional resources are assigned.
3. All tasks should have a verifiable outcome; i.e., no task such as “research options” or “meet with stakeholders” would be permitted unless they have a deliverable associated with them (e.g., “create a research report” or “meet with stakeholders, create meeting minutes, and modify specification document version 1.1 based on meeting input,” etc.).
4. All tasks should include hours required, a start date, and an end date; for example, “Task 10.2, Create Logon Screen, 30 hours, Start: 1/15/05, End 1/19/05, Lead: John Smith.”
5. Actual hours and dates should be tracked separately from planned hours and dates.
6. Design documents must include *all* business rules, including interface functionality. A common practice is to develop a section in the specification for each screen, with a “screen-shot” and a detailed description of all controls on the screen as well as all links and actions that can be performed on that screen.
7. The Interface Control Document (ICD) specifies the table structures used for the data transfer. This document was well written. However, additional specifications would be helpful, such as an Entity Relationship Diagram for the data warehouse and an architecture document that specifies what modules are to be written in the database (typically the 3rd tier in a 3-tier architecture), which are written for the business layer (typically the 2nd tier), and what the relationships are between the code modules (e.g., function calls, methods, properties, etc.).

13. CCIS System Functionality

13.1. CCIS Overall Design

CCIS is a secured single point of search for statewide court case information through the www.MyFloridaCounty.com web portal. It is an electronic database of collected court case information, covering all case types and Official Records, provided via daily incremental updates from the local systems of Florida's Clerks of the Court.

13.2. Participating Entity and User Impact

Phase I

Phase I began with the six counties from the 14th Judicial Circuit because of the similarities in their local case management software applications. The basic requirements were requested from the judiciary within that circuit resulting in the following functionality:

- Case search - case information searchable by name, social security number, the uniform case number and case type across county lines within that circuit for all case types
- Court calendar - searchable by judge, date, time, courtroom, case type, case number, and charges across county lines within that circuit for all case types
- Ad hoc reporting - reporting for statistical purposes by case type, time standards, etc. for all judges
- Progress docket – not part of the original Phase I functionality, the judiciary of the 14th Circuit requested (in October 2002) that the case progress docket information be included

Phase II

Phase II consisted of the refinement of existing functionality and the addition of new functionality with the expansion into the 2nd, 3rd, 17th, and 20th Judicial Circuits. Supplementary functionality added during Phase II includes:

- Multi-level user security providing statutorily permitted access to users
- Inquiry and display capability for additional demographic information: name, social security number, driver's license number, date of birth, sex, race, and last address for that case
- Inquiry and display capability for case financial assessments: tallies of fines and fees due, fines and fees paid, restitution due, restitution paid, and last payment date
- Inquiry and display capability for warrant/summons/capias information providing action ordered, issuing judge name, issue date, execution date and execution status
- Inquiry and display capability for sentence information providing sentence imposition date, sentence effective date, length of sentence, type of sentence, sentence status, type of confinement, and judge at sentence
- Judge Code Maintenance providing uniform display of judges' names across county and circuit lines

CCIS was also enhanced to provide the following information through URL links (as available):

- Progress dockets
- Images
- Other case detailed information

Links to state agencies include:

- Department of Highway Safety and Motor Vehicles for drivers license status information
- Department of Corrections for criminal case incarceration information

The links to the local Clerk web sites have expanded as Clerks enhanced their local systems to include accessibility to case information via the Web. As the need arises for additional state agency information available on the Web, links to those agencies are provided.

Phase III

Phase III expanded coverage to the 8th Judicial Circuit (six counties) and increased the amount of information available for access by authorized users. It was a natural continuation of the CCIS project in keeping with the goals and objectives of the Clerks of Court to increase the usefulness of CCIS to the user community. Completion of Phase III on June 30, 2004, realized a total of six judicial circuits with 31 of the 67 counties operational on CCIS.

Phase IV

Phase IV will extend the current functionality to include the remaining 14 Judicial Circuits (36 counties) and will be completed by December 31, 2005.

13.3. Infinity Survey of Current CCIS Users

During the period October 27 – November 3, 2005 Infinity conducted a survey of CCIS users to assess their satisfaction with system functionality and to ascertain whether CCIS is meeting specific user-related objectives. FACC provided Infinity with the names and E-mail addresses of 54 users from eight different user groups. Of the 54 users who were contacted and invited to participate in the survey, 25 responded and their demographics are as follows:

- 16 responded via telephone and 9 responded via e-mail
- Respondents were from the following user groups: Clerks (5), Dept. of Children & Families (2), Dept. of Highway Safety & Motor Vehicles (4), Dept. of Corrections (6), Florida Dept. of Law Enforcement (3), State Attorney (4), and Judicial (1)
- The average time a respondent had been a CCIS user was 8 ½ months
- The median time a respondent had been a CCIS user was 7 months

All respondents affirmed that CCIS was useful for their organization and were very satisfied with the CCIS application response time, ease of use, and interpretation of results. The vast majority of surveyed users stated that CCIS had improved overall efficiency and accuracy, and had simplified and standardized the search for case information. Only a few respondents had required technical support issues with CCIS, and all were for minor issues with password resets.

13.4. Infinity Analysis of CCIS System Functionality

The Person Search and Case Search functions appear to perform as designed. The responsiveness was reasonably timely for most searches performed. Some Person Searches continued to run for several minutes until the page submission was manually stopped by the user. Using additional parameters to narrow the search seemed to alleviate this problem.

Analysis of the Court Calendar search functionality revealed that a relatively small number of judges have court calendar data available. Additionally, there are several instances of duplicate names listed in the drop-down lists, and many instances where the listed name is not the personal name of a judge at all (i.e., “unknown”, “unassigned”, “none”, “Div A”, etc.). The irregularity of the Court Calendar postings may be an indicator that this functionality is not important to users. When a selection did result in court calendar data, the performance was a bit slow at times, most likely due to the amount of data returned in the selected searches. When results were returned, they appeared legible and functional. Most cases had a link to view the progress docket which was also easy to interpret.

Citing security restrictions, FACC did not grant access permission to the Reports functionality for Infinity analysts.

The secondary services available via the CCIS web site (IPNS, TCATS, and Child Support Inquiry) are outside the scope of services for this CCIS analysis and were, therefore, not evaluated.

14. CCIS Implementation

14.1. Review of CCIS Implementation Plans

From its establishment, CCIS was designed to be a statewide system to provide circuit-wide access to case information. FACC originally outsourced the CCIS development, testing, and production to Deloitte/NIC. After Phase III, FACC transferred the responsibilities for the implementation, installation, and operation of CCIS to its wholly-owned subsidiary, the FACC Services Group, LLC (FACCSG). Planning for the implementation of CCIS has been primarily dependent upon the availability of funding. Implementation planning for Phases I – III was primarily constrained by funding availability. Phase IV implementation was more deliberate and methodical due to the anticipation and eventual realization of both a funding stream and a mandated clerk participation deadline.

14.2. Implementation Timelines and Priorities

The 14th Circuit was chosen for the CCIS Phase I proof-of-concept due to software application similarities among the six counties, and as a result of the decision by the 14th Circuit to fund the prototype of the project. The cost for Phase I implementation was \$183,960. Planning and timelines appear to have followed a rather informal and fluid process, adjusting as requirements and features were identified and developed.

The awarding of \$767,000 from a Federal Byrne Grant enabled the CCIS project to advance into Phase II. The Federal Byrne Grant funding was sufficient to enable implementation of the basic CCIS functionality (less progress dockets) in an additional 19 counties from four other Judicial Circuits. Once again the planning and timeline development was driven primarily by the availability of funding. As Phase II neared completion in the Summer of 2003, FACC ended its contractual relationship with Deloitte/NIC and transitioned the development of CCIS to FACCSG.

A \$171,000 grant from the Florida Department of Children and Families provided the necessary funding for Phase III - the continued expansion of the CCIS rollout to the six counties of the 8th Judicial Circuit. As with the previous phases, detailed documentation regarding implementation planning and timelines for Phase III and its associated tasks is sparse. It was during this third phase that the revision to Section 28.24 of the Florida Statutes was finalized and approved. Phase III was concluded on June 30, 2004. The revision to Section 28.24 became effective on July 1, 2004.

The adoption of the revision to Section 28.24 of the Florida Statutes on July 1, 2004, fulfilled objective V of the CCIS Program Policy, "Seek legislative authority for system funding and require CCIS program participation by Clerks of the Court". System funding authorized by the legislature began on July 1, 2004, and this established the start-date for Phase IV. The Statute revision also mandated that all clerks participate in CCIS on or before January 1, 2006, establishing an end-date of Phase IV (December 31, 2005).

The recording fee revenue authorized by the Statute revision has resulted in recurring monthly receipts averaging \$328,670 (for the latest 12 months reported). The total funding projected for Phase IV (July 1, 2004 – December 31, 2005) is \$5,873,354. This funding has enabled final expansion of CCIS to the remaining 36 counties (14 Judicial Circuits) and for significant system infrastructure and network upgrades. A work plan containing eleven major functions was developed to guide the Phase IV statewide integration of CCIS.

14.3. CCIS Project Oversight

The CCIS Program Committee maintained oversight of the CCIS project throughout all phases. FACC generated periodic *CCIS Statewide Implementation Status Reports* during Phase IV. The reports give an overview of the project's current status, and provide a high-level summary of the progress being made by counties that have yet to implement CCIS.

14.4. Infinity Analysis of CCIS Implementation

The lack of detailed phase planning and timeline documentation, including that for specific circuit and county tasks, indicates that the overall project implementation planning was conducted in a rather informal and short-sighted manner. Available documentation refers to general Phase start-dates and end-dates, however, there is little evidence of specific team-shared timelines governing the planning of tasks within each Phase. For example, Function 8 of the Phase IV eleven-function work plan provided only general details regarding county implementations, referring to kick-off meetings where counties were asked to provide an implementation date, followed by a short list of implementation “steps” for a typical county.

FACC’s implementation of a Configuration Control Board (CCB) demonstrates their efforts in maintaining control of the project as its size increased; however, the CCB is not scheduled to become operational until after the completion of Phase IV. It appears that the bulk of stakeholders expressed a strong interest in product success. It also appears that FACC had foresight to plan high level CCIS activities with the inclusion of clerk input. This can likely be attributed to the fact that the clerks were supporting the development because all project phases included county expansion. There is significant evidence of feedback captured from user testing throughout all phases.

Overall we found that CCIS, as a final product, turned out very well. It met users’ needs and was created within a reasonable budget and timeline. Implementation appears to have been a relatively smooth process, with FACCSG handling the majority of tasks. FACC offered funds for monetary reimbursement to counties to cover their implementation expenses, but to date, no county has requested reimbursement. This indicates that the implementation burden on the counties was minimal. Although the implementation has gone well, we strongly recommend better implementation planning and documentation (e.g., county-specific timelines, county-specific business rules and data transfer rules, etc.).

15. CCIS Maintenance

FACC has executed and entered into a technical services agreement with the FACC Services Group, LLC (FACCSG), to provide CCIS technical services, including system maintenance. Formal procedures for maintaining the quality and efficiency of CCIS have been established to ensure system availability 24 hours a day, with the exception of any service interruption due to necessary planned or emergency maintenance. Routine procedures are carried out on a scheduled basis to maintain the availability, continuity, capacity, and performance of CCIS.

15.1. CCIS Maintenance Process

System maintenance is normally performed weekly, on a flexible schedule, after generally accepted business hours. Routine maintenance includes daily formatting, loading, previewing, and maintaining CCIS information and data content on the Internet web portal. FACCSG is also responsible for system monitoring, performance tuning, fault corrections, change implementation, and the creation and maintenance of the CCIS database. Incremental system backups are performed daily and full backups are performed weekly. Backups of data are taken to a storage facility, located approximately three miles from the FACC central site. FACCSG maintains hardware/software maintenance agreements with product vendors to maximize uptime.

FACCSG also uses a software product called HEAT (Helpdesk Expert Automation Tool) for tracking issues through a single resource. HEAT tracks CCIS Help Desk calls, determines the training needs of the counties, tracks Program Modification Requests (PMRs), and generates call reports. HEAT enables FACCSG to manage effective communication and prioritize trouble calls.

15.2. System Change Management Rules

All FACC applications, including CCIS, are constantly evaluated for improvement. Many of the changes and enhancements to CCIS are initiated by end-users via support feedback and PMRs documented in HEAT. Functional changes to each application are reviewed and approved by the CCIS Program Committee and forwarded to the Configuration Control Board (CCB) for the appropriate action. CCB duties include on-going functional refinement and expansion, reviewing PMRs, and recommending feasible changes and prioritization to the CCIS Program Committee. They also assist with statutory and security compliance and review all new releases of the application, on a quarterly or semi-annual basis. The CCB will become operational upon completion of implementation of Phase IV.

15.3. Budget and Funding for System Maintenance

Cost estimates for system maintenance were assembled from a variety of supplied documents and analyzed in an attempt to determine accuracy and relevancy. A more detailed breakdown of the specific items comprising system maintenance costs (i.e., audit results) is required for a more complete analysis. This information should become available in December 2005 when the annual audit for FY 04/05 is scheduled to be completed. The limited amount of budget information examined by Infinity provided few details regarding historical estimated costs, and future budgeted expenditures, for CCIS system maintenance.

In its March 2004 response to questions from the Legislature's Technology Review Workgroup (TRW), FACC reported the anticipated costs (current functionality) for system maintenance (including network costs) were estimated to be \$240,000 for the 18-month Phase IV implementation period. The ongoing annual costs were estimated to be \$200,000.

However, according to the *CCIS Project Cost Actuals and Budget* provided to Infinity by FACC on October 26, 2005, recurring system maintenance costs (actuals) were not itemized for FYs 01/02, 02/03, or 03/04. The budgeted amount for system maintenance for FY 05/06 is projected to be \$1,068,000, distributed as follows:

- a) Central Site Allocation - \$595,545

- b) Network Allocation - \$224,455
- c) Maintenance / Computer HW/SW - \$248,000

The changes in cost estimates from year to year were the result of increased CCIS functionality and increased usage of CCIS.

Although not itemized in provided documents, funding for system maintenance in Phases I - III would have been provided by sponsoring grants, FACC advances, and/or other revenue. The recording fee revenue established by Florida Statute (s.28.24.(12).(e).(1)) provides the funding for system maintenance in Phase IV and beyond.

15.4. System Accountability

The CCIS Program Committee provides overall project oversight and policy guidance for the CCIS project. FACC SG, by an MOU with FACC, is accountable to FACC for the implementation, installation, and operation of CCIS, to include system maintenance. Per Florida statute, since July 1, 2004, funding for CCIS has come from the recording fee revenue collected by each of Florida's Clerks' offices. These funds are deposited monthly into a FACC bank account and FACC uses the funds to cover the costs of development, implementation, operation, and maintenance of CCIS.

15.5. Infinity Analysis of CCIS Maintenance

The maintenance process used by FACC to maintain the currency of CCIS is very organized, responsive, and successful. Routine procedures are structured and standardized. Changes are documented and processed logically, from initial notification, to verification (or rejection), to implementation.

The accountability process regarding system maintenance expenditures and budget development is vague and lacks detailed documentation. Additionally, the absence of a process requiring independent third-party (i.e., state agency) budget review and pre-approval of itemized system maintenance planned expenditures, results in the increased risk to the accountability and integrity of the project.

16. CCIS Operating Environment

16.1. CCIS Operating Environment – Hardware

FACC operates six production servers and two production hard disk arrays that host the CCIS system.

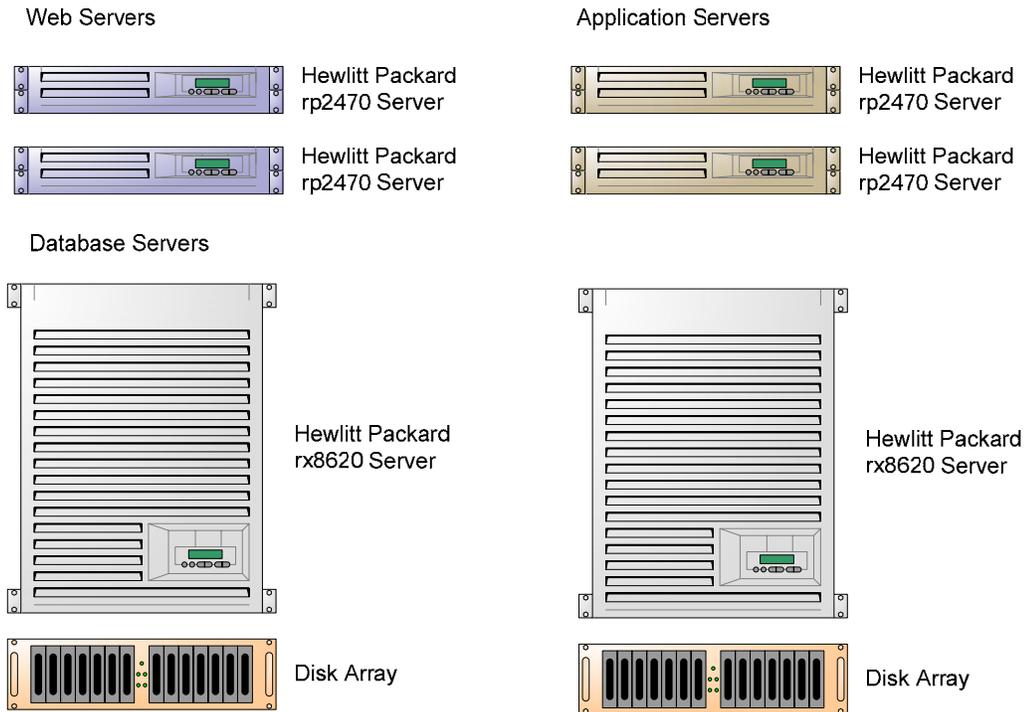


Figure 7: CCIS Hardware (Servers & Disk Arrays)

In this environment a set of two servers provides services for each layer of the CCIS system's three-tier model. The database servers are configured as a cluster for failover redundancy. Each of the first 2-tier layers, web and application, have redundant servers but are not currently configured for load balancing.

Hardware Highlights:

Item	Web Server	Application Server	Database Server
Processor	Dual 750MHz PA-RISC 8700 processor With 1.5MB cache	Dual 750MHz PA-RISC 8700 processor with 1.5MB cache	Eight (8) Intel Itanium 2 processors (1.3 GHz with 3 MB cache or 1.5 GHz with 6 MB cache)
Memory	4 GB	8 GB	24 GB
Hard Disks	Seagate Cheetah 2 X 73GB	Seagate Cheetah 2 X 73GB	Seagate Cheetah 4 X 73GB
SCSI	Ultra 2 SCSI	Ultra 2 SCSI	Ultra 160 SCSI
NIC	Dual 10/100	Dual 10/100	Dual 10/100/1000

Table 8: CCIS Hardware Overview

Web and Application Servers:

The web and application servers consist of the Hewlett Packard rp2470 Unix based servers. The Hewlett Packard rp2470 server is ideal for distributed sites, branch office locations, and for use in small and medium-sized businesses. This server offers the functionality, scalability and robustness of a UNIX server that compares in pricing to the PC server platform.

These servers are ideal hardware for hosting web sites with high volumes of traffic. In the current configuration, FACC has one web server and one application server online in a production mode. The two sister servers, although healthy, are not online in a production mode. The non-production servers are in a transition period while FACC is upgrading the system software. This item is further addressed in Section 16.2. – IBM WebSphere.

The web and application servers are currently configured with a mix of memory and hard drive configurations. This model server and their configuration's are close to a maximized state. Three of these servers could have upgrades to memory and one server could upgrade internal hard disk space. With the exception of these upgrades, the model for the web and application servers are at their limit in terms of hardware scalability.

FACC could add additional servers to their system that will provide scalability and performance enhancement once these tiers of the system are configured for balanced service. In addition, the design and architecture of the system do not demand high resource usage. For instance, the web servers do not require large amounts of disk storage due to all content from the system residing in the database. Therefore, at their current configuration both the web and application servers have more than enough capacity to sustain the system for several years.

Current statistics provided by FACC show that both the web and application servers reach between 10 and 20 percent usage during peak system activity. The following are capacity statistics for these servers:

- Web Server 1 - 22848 Megabits unallocated of 69440 Megabits
- Web Server 2 - 95616 Megabits unallocated of 139968 Megabits
- Application Server 1 - 38528 Megabits unallocated of 139968 Megabits
- Application Server 2 - 79392 Megabits unallocated of 139968 Megabits

Database Servers:

The database servers consist of two Hewlett Packard rx8620 servers. These servers are ideal backend database servers. As currently configured FACC will have the ability to continue to scale and upgrade the servers as demands increase. These servers are capable of scaling up to four times more in processing power, and up to 10 times in memory capabilities.

The database servers also utilize external hard disk storage arrays. These arrays are the Hewlett Packard va7410 and they allow engineers to mix and match disk drives and add capacity instantly. In addition, these arrays have hot-swap technology that reduces planned downtime, and the virtual array architecture simplifies array management and administration.

The configuration of the database servers with the external arrays provide for 6.5 Terabytes of database disk storage space. This capacity will provide enough storage space for the current system and the design can provide additional storage space with minimal effort.

This third tier of the CCIS system is more than adequate to meet the demands of the application. The hardware configuration is ideal for a large database application to serve as a data warehouse. Statistics provided by FACC show the database can handle in excess of 25,000 case records per minute and an unlimited amount of user connections.

Network Infrastructure:

The network infrastructure for FACC is comprised of Cisco network equipment. The network has dual Cisco 4000 series routers at the head end with failover redundancy. Cisco PIX firewalls are utilized to

control security and intrusion detection. Multiple layers of firewalls are used to further segment network traffic and increase network security.

Between each system tier a PIX Firewall is used as the gateway to control the flow and level of traffic between tiers.

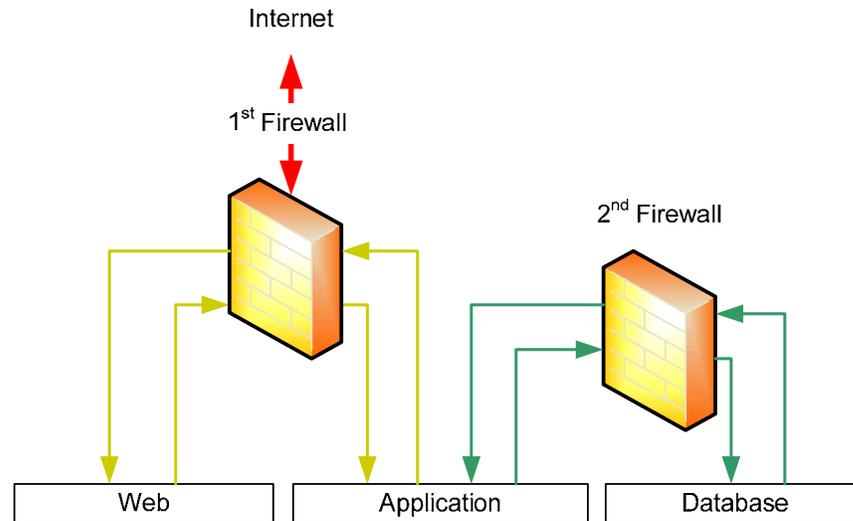


Figure 8: CCIS Firewall Placement

This design provides added security between system tiers and controls the level of traffic on the internal network.

Cisco 3750 network switches are used as the primary connectivity appliance for the network. Switches are configured for redundant failover and provide traffic prioritization services. The speed of the internal network, from machine to machine, is 100 megabits.

16.2. CCIS Operating Environment - Software

FACC operates the following software on the hardware described above:

1. Web Servers:
 - Operating System – HP-UX 11.11
 - Web Server - Apache, IBM HTTP Server
2. Application Servers:
 - Operating System – HP-UX 11.11
 - Application Server – Caucho Resin
3. Database Server:
 - Operating System - HP-UX 11.23
 - Database - IBM Informix 9.40
 - Clustering - HP Serviceguard

HP-UX 11.11

The HP-UX is a Hewlett Packard version of the Unix operating system. This operating system supports processors of different performance levels, high levels of multiprocessing, a large range of memory sizes from megabytes to hundreds of gigabytes and file system sizes up to 32 terabytes. This operating system functions effectively and efficiently on systems ranging from workstations to access servers but is considered a leader for application servers and datacenter servers. Unix is considered one of the more robust operating systems that achieves superior levels of performance and scalability.

Apache and IBM HTTP Server

Apache is a freeware HTTP server based on open-source software which implements industry standard HTTP/1.1 protocol. It is built and distributed under the Apache Software License by the Apache Software Foundation. This software provides the web server based layer of services. The HTTP responds to requests for the web site and interacts with the application server to retrieve and display information from the database server.

Caucho Resin

Resin software is developed by Caucho Technologies and is considered a leading application server with one of the fastest servlet and JSP engines in the industry. Resin provides the application server layer service and performs the logical application processing for the system. Resin is used by thousands of corporate, educational and government entities.

IBM Informix

IBM Informix® Dynamic Server (IDS) is an online transaction processing (OLTP) database. Combined with the right hardware it can offer outstanding performance, reliability, scalability and manageability for enterprise computing. Informix is a full-featured relational database management system (RDBMS) platform.

HP Serviceguard

HP Serviceguard is specialized software that provides for the protection of mission-critical applications. HP Serviceguard provides a wide variety of functions but in this implementation it specifically provides the ability for multiple servers (nodes) to organize into an enterprise cluster. The enterprise cluster provides a redundant database layer in case one server fails the other would immediately begin service with no down time or data loss. The software is designed to rapidly respond to failures in a way that minimizes or eliminates application downtime.

IBM Websphere

FACC noted that the current web software (Apache) and application layer software are limited in terms of growth and sustainability. They are in the process of upgrading these platforms to IBM Websphere, an industry standard HTTP and application services software. Upgrading to this software will allow FACC better control over these tiers and greater flexibility for future growth. This software will also allow FACC to provide a better set of load balanced services across the web and application tiers. This upgrade is scheduled to be complete by early 2006.

16.3. CCIS Operating Environment - Connectivity

FACC manages multiple connectivity points and network connections. For the purposes of CCIS, three specific connections are discussed here:

1. T1 (1.5 Megabit) CLERCNet lines through MCI utilizing MPLS (Multi-Protocol Label Switching)
2. 45 Megabit Internet line through MCI
3. 10 Megabit circuit to the local Metropolitan Area Network (MAN) through Sprint

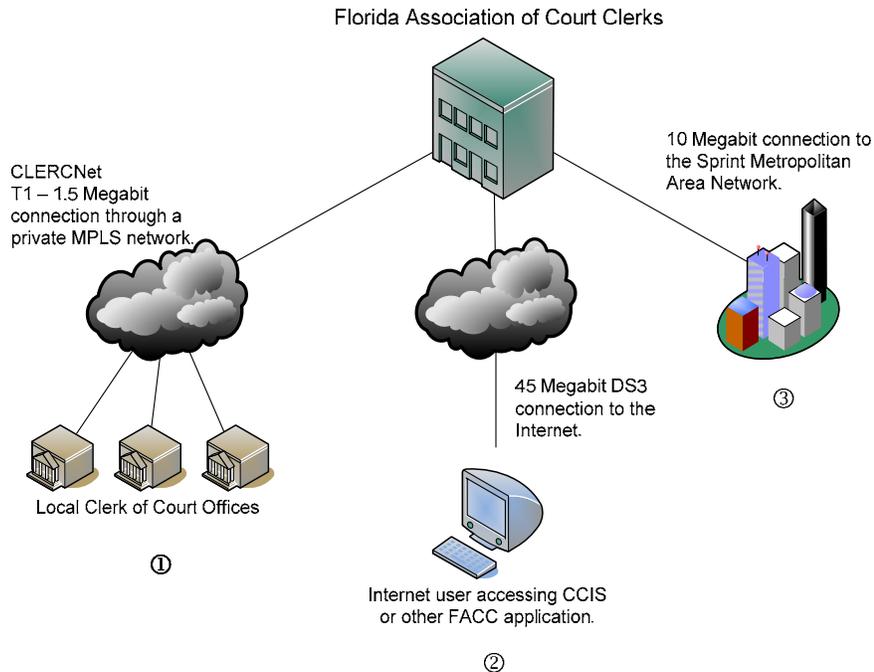


Figure 9: CCIS Connectivity

Connection 1:

CLERCNet's primary purpose is to provide virtual private network connectivity between the state's local Clerks of Court offices and FACC. The benefit of this type of network is that it provides end to end smart connections. These smart connections act like private circuit connections that provide guaranteed performance and the ability to avoid network congestion. This network services the data transfer between the local Clerks of Court and the FACC.

Connection 2:

Connection 2 provides the main Internet connection and bandwidth to FACC hosted web applications. This connection only services inbound Internet requests to CCIS and various other applications.

Connection 3:

Connection to the local MAN is made through a 10 megabit line provided by Sprint. This connection provides Internet access for FACC employees and provides connectivity to all of the state agencies.

16.4. Infinity Analysis of CCIS Operating Environment

The operating environment for CCIS is above average. The design and overall system architecture follows an industry standard methodology for web based applications. Three-tier systems are proven and successful design strategies for applications providing real time database transactions.

The primary purpose behind the three-tier model is to balance data processing across multiple machines with redundant layers of resources. This design isolates processing for specific tasks while providing a high level of security and ability to scale.

Currently FACC services approximately 1,000 users consuming between 10 and 20 percent of the processing power (per tier). Therefore, the system can easily service upwards of 5,000 users before requiring additional hardware for load balancing. In addition, the database servers have adequate storage capacity with great flexibility to expand when needed.

The hardware is considered enterprise level with room for growth and increased usage. The hardware is covered under annual contracts through Hewlett Packard. FACC's contract with Hewlett Packard for Critical System Support provides immediate response to hardware problems, and proactive management and monitoring. This level of service provides an advantage and safeguard against failure and system downtime.

FACC is not currently utilizing the hardware resources as initially proposed. As stated in Section 16.1, the web and application layer are only utilizing one server per tier. This poses a risk and single point of failure for the system. However, FACC has addressed this and will again utilize redundant load balanced servers when they finalize their transition to IBM's Websphere product in early 2006.

FACC conducts regular backups of system data with copies kept onsite and offsite, in a secure location. FACC staffs and operate an industry standard data center with full facilities and a generator backup (scheduled to be installed November 2005). FACC also has a Disaster Recovery Plan in place and tested. In addition, FACC is pursuing a hot recovery site option for complete disaster recovery.

FACC has adequate connectivity for system performance and acceptable response times. The connection types are industry standard through proven third party vendors. These connections also have the ability to scale as required if demand reaches bandwidth limitations.

The CCIS system is appropriately designed and the system has adequate resources for future growth. One item of concern is that FACC shares these resources across other applications. Therefore, the requirement for the future addition of hardware will need to be based on the cumulative growth and usage of all shared applications, not just the growth of CCIS.



17. CCIS Fiscal Process / Funding Sources

17.1. CCIS System Development Expenditures

Phase I

Phase I was developed as the proof-of-concept version of CCIS for the 14th Judicial Circuit. In a May 2002 proposal presented to FACCSG by Deloitte Consulting/NIC, a cost of \$41,600 was proposed for the design, development, and deployment of CCIS to the 14th Circuit. CCIS design and development comprised the scope of this agreement and it was noted that no additional hardware and/or software was needed for the pilot.

A September 2002 firm fixed price agreement between FACCSG and the Bay county Clerk of Court was executed for the implementation of the progress docket functionality for the 14th Circuit. The agreement, which also included testing and implementation, was for an amount not to exceed \$65,000. The progress docket functionality was an additional CCIS capability that was not included in the original CCIS implementation for the 14th Circuit.

Based on the two information sources above, the total cost for Phase I would have been \$106,600.

In a July 2003 letter to the Department of Children and Families (DCF), FACC reported the cost of development and implementation of CCIS Phase I to be \$103,960 for general functionality and \$80,000 for progress dockets. The total cost for Phase I was reported to be \$183,960.

The July 2003 letter to DCF also stated that the total Phase I cost of \$183,960 was funded by the Clerks of Court from non-federal and state funds.

(Note: FACC provided a cost for Phase I of \$183,960. This includes both the \$106,600 external costs cited above and FACC internal system development and support costs.)

Phase II

In the July 2003 letter to DCF, FACC reported the total cost of development and implementation of CCIS Phase II to be \$757,322 distributed as follows:

<u>Contractual Services</u>		\$517,322
Engineering Support/Project Mgt.	\$ 36,000	
General Analysis	50,000	
System Design	50,000	
Development Acceptance	111,322	
Local System Integration	<u>270,000</u>	
<u>Operating Capital Outlay (Equipment)</u>		<u>\$250,000</u>
TOTAL		\$757,322

CCIS Phase II was funded by a \$767,000 grant from the FDLE Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program.

Phase III

In its *CCIS Phase III Project Statement of Work* submitted by FACCSG in 2003 to the DCF and the Alachua County Clerks of Court, the cost to implement Phase III functionality in the 8th Circuit was reported to be \$171,000 (\$28,500 for each of the 8th Circuit's six counties).

Phase III was funded by the DCF through a \$171,000 Children's Justice Act Grant.

Phase I – III Summary

FACC provided Infinity with their *CCIS Project Costs Actuals and Budget* which provides general details on the expenditure (cost) and revenue (funding) amounts, by fiscal year, for the period FY01/02 through FY05/06. Since this document does not show a breakdown of costs and funding by project phase, Infinity compared the amounts detailed above with the reported "actuals" amounts for



FY01/02 - FY03/04 (the time period covered by CCIS Phases I - III). The differences between the totals in the Table 9 below are assumed to be due to FACC accounting methodologies, which were not detailed with the provided budget.

	Costs / Expenditures	Funding / Revenue	Net
As reported in the CCIS Project Cost Actuals and Budget for FY01/02 – FY03/04	\$1,729,770	\$1,861,558	\$131,788

Table 9: Phase I – III Summary of Costs/Expenditures and Funding/Revenue

Phase IV

CCIS Phase IV began on July 1, 2004, and is scheduled to be completed on December 31, 2005. In its CCIS White Paper dated January 6, 2004, FACC estimated the total cost for Phase IV to be \$5.8 million. In an April 2004 response to questions from the Legislature’s Technology Review Workgroup (TRW), FACC revised the cost estimate to \$6,108,643. The July 2004 Technical Services Agreement between FACC and FACCSG reports the total Phase IV contract budget to be \$7,043,046.

Expenditures for the Phase IV timeframe reported in the *CCIS Project Costs Actuals and Budget* are \$3,302,475 (actual) for FY04/05, and \$5,603,282 (budgeted) for FY05/06. Infinity analysts calculated the total for Phase IV expenditures to be \$7,114,105.²⁰

Effective July 1, 2004, a steady funding source for CCIS, including Phase IV and beyond, was established by Florida Statute (s.28.24.(12).(e).(1)). Funds are provided by recording fee revenue collected by each of Florida’s 67 county Clerks’ offices. The county Clerks’ offices make monthly electronic deposits of collected revenue to FACC, in an account designated for CCIS related expenses.

Prior to the passage of Florida Statute 28.24., the annual funds that would result from recording fee revenue was estimated to be \$2.7 million. Actual revenue received for FY04/05 was \$3,775,988 and the total revenue for the 18-month Phase IV period is projected to be \$5,873,354.²¹

Based on the estimates above, taken from the FACC-provided *CCIS Project Costs Actuals and Budget* and *Recording Fee Revenue Report*, at the completion of Phase IV (December 31, 2005) the project will be running at a fiscal deficit of approximately \$2,582,403. The deficit will be reduced to \$1,808,865 by the end of FY05/06.

Post Implementation

In the April 2004 response to the TRW, FACC reported the annual ongoing operating and maintenance costs of CCIS to be \$900,000 (\$240,000 for system maintenance and \$660,000 for operational support). During an October 15, 2004 Article V Technology Board meeting, Mr. Greg Brock (FACC’s System Engineer) stated that CCIS recurring costs would be \$1.4 million. Mr. Brock explained that the \$1.4 million included the costs for user group recommended enhancements and application development (in addition to operating and maintenance costs). From this limited information provided, the baseline annual recurring cost for CCIS system maintenance and operational support is assumed to be \$900,000. The variable costs for system enhancements, application development, etc., would be in addition to the baseline operating cost.

The recording fee revenue established by Florida Statute 28.24. will continue to provide CCIS funding after statewide rollout. Annual recording fee revenue is projected to be in excess of \$4 million, based

²⁰ This calculation was based on the following information provided to Infinity by FACC at a meeting held on November 23, 2005: Actual FY 04/05 Costs (\$3,302,475) + Statewide Rollout costs Carry-over to FY 05/06 (\$2,409,395) + Operating Costs in FY 05/06 for 1st 6-month period (\$1,402,235) = \$7,114,105. FACC also explained that the latest estimate for annual operating (maintenance) costs, for existing functionality, is approximately \$2 million.

²¹ FACC provided reports note \$4,558,674 in recording fee revenue received for the 14-month period July 2004 – August 2005. The average monthly revenue for the latest 12-month period reported (\$328,670) was used to project Phase IV revenue through December 2005.



on extrapolation of recent receipts.²² A summary of CCIS costs, basis for estimates, funding, and funding sources are presented in Table 10 below.

	Cost	Funding
Phase I, II, III	\$1,729,771	\$767,000 (FDLE Edward Byrne Grant) \$171,000 (DCF Children's Justice Act Grant)
Phase IV (July 1, 2004 – December 31, 2005)	\$7,114,105	\$5,873,354 (Recording fee revenue, actual plus estimated)
Post Implementation	\$1,910,472 Maintenance for existing functionality	>\$3,500,000 (Estimate based on historical receipts)

Table 10: Summary of CCIS Costs and Funding (by Phase)

17.2. Planned CCIS System Enhancements

Currently planned and/or in progress enhancements to CCIS include:

- LexisNexis Accurant Data Link (ADL) Unique Identifier (\$1,192,000 for implementation and 1st year of service)
- Jessica Lunsford Act / Sexual Predator Notification (\$300,000 expenditure in FY05/06 budget)
- Article V Reports (\$432,200 for nine reports and a local data availability/capability analysis)
- Agency specific web services (cost unknown)
- Expanded links to outside agencies (cost unknown)
- Performance and accountability reporting (cost unknown)

Once the statewide rollout of CCIS is completed and all counties have fully implemented each of the baseline CCIS data sources (probate, traffic, juvenile, civil, criminal, and child support), the requirement for additional system enhancements is an assumed certainty. FACC estimates the annual recurring cost for the design and development of post-implementation enhancements to be \$500,000.

The costs for any foreseeable enhancements to CCIS will be funded by the recording fee revenue. This revenue, estimated to be in excess of \$4 million annually, should be more than adequate to cover the costs of enhancements, in addition to the costs for system maintenance and operational support.

17.3. Cost Benefit Analysis

Infinity conducted a cost benefit analysis on the CCIS project from the initial Phase I startup (November 2001), through five years of statewide implementation (December 2010). Using conservative user and case growth rate variables, the analysis for this eight-year period demonstrates that the CCIS project will cost an estimated \$17 million and provide approximately \$20.5 million in benefits, for a net positive value of \$3.5 million.

Methodology

Actual and projected costs for all phases of CCIS implementation were calculated as detailed in Section 17.1. Future costs have been estimated by using a logical extension of current project status,

²² Monthly recording fee revenue increased an average of 8.5% between September 2004 and August 2005. A total of \$3,944,039 in recording fee revenue was collected during this 12 month period.

however, these costs could be affected by future unknown factors such as prevailing wage rates, input costs (such as petroleum), etc. The past and future benefits have been estimated for evaluation purposes and since this project is not being compared to an alternative project with a separate revenue stream, the value of quantifying the accrual of benefits is negligible.

Furthermore, since this analysis incorporates estimated future dollar figures, an expected rate of return for the next five years would be required. Given the difficulty in predicting future value of capital and potential fluctuations in figures, the added complexity of incorporating the time-value of money has not been included.

Therefore, all figures in the following analysis are represented in current dollar figures. This is based on the assumption that 2010 dollars will be worth as close to what 2001 dollars were worth such that not including analysis of real dollars versus nominal dollars, or time-value of money concerns, will not dilute the robustness of this cost benefit analysis.

Benefits

There are three primary benefits derived from using CCIS: time, materials, and information. Time savings result from the ability, through CCIS, to obtain accurate court case data for the entire state from a single source. This reduces the workload on employees who research this information and fewer wages will be spent paying workers to conduct this data research. Material savings result from the reduced requirement of producing, collecting, and shipping documents from one location to another. This equates to lower usage of printers, paper, toner, envelopes, and shipping costs. The third benefit, information, can be described as the increased situational awareness and availability of complete, timely, and accurate court case information to all CCIS users. A practical example of this benefit is the ability for a judge to have time-critical information on a suspect regarding pending court action in any of the other counties or Circuits statewide.

Benefit Assumptions

To produce estimates for material and labor savings, from the inception of CCIS through December 2010 requires an extrapolation of numerous values, both known and estimated. The following figures are based on existing system statistics, surveys of current users, and general knowledge of state business practices. In a few instances assumptions were necessary to complete the calculations, however, the figures used are fully disclosed and the basis for their use is explained.

Variables:

Variable	Base Year Value	Growth Rate
Workdays/Year	248	Steady
Active Users/County	6	.5 Users Per Year
Cases/User/Day	2	1 Per Year
Time Savings/Case	10 Minutes	Steady
Material Savings/Case	\$2.50	5% Per Year
Worker Cost/Year	\$45,000.00	5% Per Year
Worker Cost/Hour	\$22.50	Proportional

Table 11: Cost Benefit Analysis Applied Variables

Workdays Per Year

There are 248 work days per year for most state employees. While there is some fluctuation in the number of hours worked per week, the assumption was made that the number of standard working days per year would remain unchanged through December 2010.

System Users

Based on the first three phases of the project, each county averaged six active users. At the time of this report there were over 1,000 registered users for 50 counties. However, it was assumed many user accounts are not used on a regular basis, such as technical personnel, oversight personnel, and inactive accounts. As the system becomes more widely used and populated with data its utility would increase. Therefore, the growth rate for this analysis was estimated at .5 users per year.

System Usage

Survey respondents indicated they used the system for about two cases per day. This usage could be reasonably expected to grow at a modest rate of 1 extra daily case per year.

Time Savings

The amount of time saved by accessing a state-of-the-art data warehouse with simplified search techniques is estimated at 10 minutes. This figure represents the difference between the previous methods of gathering court case data, and using CCIS. While users will become more proficient in the operation of CCIS, the increased number of users and the quantity of data may offset this affect. Hence, the time savings variable is assumed to be constant over time.

Material Savings

The cost savings associated with sharing information electronically is estimated to be \$2.50 per case. Material savings will be realized by the reduction in paper, printing, postage, and additional miscellaneous office supplies. These cost savings are assumed to grow at a rate of 5% per year, based on inflation and increased petroleum costs.

Labor Costs

The average annual cost for an employee who would be granted access to CCIS is estimated to be \$45,000. This amount includes wages, fringe benefits, and other ancillary employment costs. These costs can be expected to increase at a rate of 5% per year, based on a 3% per year cost of living adjustment (COLAs) and increasing healthcare costs (a common fringe benefit for state employees). While labor costs can vary greatly from one county to another, a state average is used for the sake of simplicity.

Project Costs

The general costs associated with the implementation of CCIS Phases I – IV included: system design and development, testing and implementation, hardware and software upgrades, network upgrades, maintenance and operational support, engineering labor, training, and project coordination. Future costs will include system maintenance, operational support, and the design and development of system enhancements.

Rounding

The following tables contain the detailed values used to complete the cost benefit analysis. All aggregate dollar figures are rounded to the nearest whole dollar.



Phase	Years	Work Days	Counties	Active Users	Cases/User/Day	Total Uses/Period
I	1.50	372.00	6	36	2	26,784
II	1.33	329.84	25	150	2	98,952
III	0.67	166.16	31	186	2	61,812
IV	1.50	372.00	60	360	2	267,840
2006	1.00	248.00	67	402	2	199,392
2007	1.00	248.00	67	436	3	324,012
2008	1.00	248.00	67	469	4	465,248
2009	1.00	248.00	67	503	5	623,100
2010	1.00	248.00	67	536	6	797,568
Total Cases Searched through December 2010						2,864,708

Table 12: Estimated Usage

Phase	Years	Counties	Active Users	Total Uses/Period	Total Cost/Period
I	1.50	6	36	26,784	\$183,960
II	1.33	25	150	98,952	\$757,322
III	0.67	31	186	61,812	\$171,000
IV	1.50	60	360	267,840	\$8,400,000
2006	1.00	67	402	199,392	\$1,500,000
2007	1.00	67	436	324,012	\$1,500,000
2008	1.00	67	469	465,248	\$1,500,000
2009	1.00	67	503	623,100	\$1,500,000
2010	1.00	67	536	797,568	\$1,500,000
Total Estimated Costs through December 2010					\$17,012,282

Table 13: Cost Analysis: Total Estimated Project Costs



Phase	Total Uses/Period	Material Savings	Savings/Period
I	26,784	\$2.50	\$66,960
II	98,952	\$2.50	\$247,380
III	61,812	\$2.50	\$154,529
IV	267,840	\$2.50	\$669,600
2006	199,392	\$2.50	\$498,480
2007	324,012	\$2.63	\$850,532
2008	465,248	\$2.76	\$1,282,340
2009	623,100	\$2.89	\$1,803,290
2010	797,568	\$3.04	\$2,423,622
Total Material Savings through December 2010			\$7,996,733

Table 14: Benefit Analysis: Estimated Material Savings

Phase	Total Uses/Period	Time Savings in Hours	Wage Savings	Full Time Equivalents
I	26,784	4,464	\$100,440	2.2
II	98,952	16,492	\$371,070	8.2
III	61,812	10,302	\$231,793	5.2
IV	267,840	44,640	\$1,004,400	22.3
2006	199,392	33,232	\$785,106	16.6
2007	324,012	54,002	\$1,339,587	27.0
2008	465,248	77,541	\$2,019,685	38.8
2009	623,100	103,850	\$2,840,182	51.9
2010	797,568	132,928	\$3,817,205	66.5
Total Labor Savings through December 2010			\$12,509,469	238.7

Table 15: Benefit Analysis: Estimated Labor Savings



Phase	Material Savings	Wage Savings	Total Savings	Total Cost	Balance
I	\$66,960	\$100,440	\$167,400	\$183,960	-\$16,560
II	\$247,380	\$371,070	\$618,450	\$757,322	-\$138,872
III	\$154,529	\$231,793	\$386,322	\$171,000	\$215,322
IV	\$669,600	\$1,004,400	\$1,674,000	\$8,400,000	-\$6,726,000
2006	\$498,480	\$785,106	\$1,283,586	\$1,500,000	-\$216,414
2007	\$850,532	\$1,339,587	\$2,190,119	\$1,500,000	\$690,119
2008	\$1,282,340	\$2,019,685	\$3,302,025	\$1,500,000	\$1,802,025
2009	\$1,803,290	\$2,840,182	\$4,643,473	\$1,500,000	\$3,143,473
2010	\$2,423,622	\$3,817,205	\$6,240,827	\$1,500,000	\$4,740,827
Totals	\$7,996,733	\$12,509,469	\$20,506,201	\$17,012,282	\$3,493,919

Table 16: Cost Benefit Analysis: Aggregate Per Period Estimates

17.4. Infinity Analysis of CCIS Fiscal Process / Funding Sources

It appears that FACC has been diligent in planning CCIS expenditures, and has endeavored to return a quality product for the investment. For Phases I - III, there is no question that CCIS was budget driven (i.e., functionality was limited to available funding). Though CCIS was built without a consistent funding source available, FACC was able to achieve its goals and provide needed software to the clerks (and others). In Infinity's opinion, it was a good and responsible use of dollars.

However, there are four issues that we recommend addressing:

1. Based on the documents provided to Infinity for analysis, the mapping of actual expenses to those formerly estimated was not always clear. In Phase IV it was even more difficult to compare actual expenses to those formerly estimated. Based on the documents provided for analysis pertaining to all project phases, actual costs, although itemized to some degree, were not necessarily tied directly to one or more particular funding sources; it was impossible to determine what funds were fully expended and when. For accountability purposes, it is recommended that FACC maintain consistent itemization for estimated and actual expenses as pertains to each funding source explicitly.
2. The ongoing funding available from recording fees is expected to be over \$4 million per fiscal year. The high end of the estimates for ongoing maintenance of CCIS is \$1.4 million (as provided by FACC). We recommend that the recording fee structure be revisited to ensure the funding is properly allocated. It appears there will be approximately \$2.6 million available after fully funding CCIS that can be returned to the fee-payers, used to fund other Article V projects, or fund other, board-approved projects at FACC (e.g., the LEXIS-NEXIS Identifier Project).
3. Because FACC is a privately held organization, it does not come under the jurisdiction of state laws concerning public records and accountability in money management. However, since the funding for CCIS is coming from public sources, we recommend the state be held accountable for its proper expenditure. Please note that FACC has already agreed to a yearly audit of its CCIS program; however, in the best interest of the public, we believe the Legislature or other appropriate entity (e.g., the Article V Board) take responsibility for the audit. They could choose an outside auditing firm or enlist the services of the Auditor General or OPPAGA. Additionally, regular reports on expenditures of public money should also be

- made to the state. Finally, CCIS should provide a projected budget prior to each fiscal year detailing expected expenses. This could be used, if necessary, to justify the need for special funding during a given year (or notice that expenses will be lower than \$1.4 million making additional funds available for special projects). Projects, funding, and all other activities not associated with public funding, would of course, be excluded from these requirements.
4. The last issue concerns availability. If CCIS grows as expected, and if it becomes an integral part of the data management strategy for the state, then the long-term availability of CCIS becomes an issue. While FACC has been eager for CCIS to be utilized by many state entities, and has actively participated in such projects, ultimately CCIS is a privately-owned software system. FACC can legally, and reasonably, make decisions that adversely affect the state. For example, FACC could cease to exist as an entity, be reorganized with different priorities, or choose to no longer support CCIS, among many possibilities. We strongly recommend that the state take steps to ensure that the long-term availability of CCIS is commensurate with the state's long-term strategy for using CCIS. For example, the state could negotiate a contract that allows it to purchase CCIS if FACC no longer chooses to provide it or support it; the state could pay a fee to acquire a restricted license and a copy of the source code, etc.

18. CCIS System Security Model

18.1. System Access Policies, Procedures, Agreements

Several different layers of security protect the integrity and confidentiality of CCIS. The purpose of the CCIS system security is to prevent access to unauthorized users (including potential intruders/hackers), ensure that authorized users are able to access only the information granted by their level of access, and to ensure the integrity of data transmitted to the CCIS data warehouse from the providing Clerks. While some CCIS security details have changed over time, such as the CLERCNet change from frame-relay to multi-protocol label switching (MPLS), the overall security model has been consistent since project inception.

At an infrastructure level, security begins with the application's design and component placement. CCIS utilizes two networks: the CLERCNet and the Internet. The CLERCNet is a secure statewide network consisting of the 67 Clerk's offices, FACC, the State Disbursement Unit, and various state agencies. This network is the means for uploading data into CCIS from the Clerks. CCIS data transmitted on the CLERCNet is downloaded at the FACC central site data warehouse. Stringent file transfer IP restrictions ensure security prior to the data being stored on system disk arrays by the backend database servers.

With the application design itself having layers (for various purposes, including security), security is more easily controlled as each component is isolated physically. By far the most important components of the CCIS pertain to data storage. Multiple firewalls provide security between the database servers and the system's middle-tier application servers. The application servers manage user inquiries made via web servers and additional firewalls provide security between the application servers and web servers. Each CCIS functional modification is reviewed for compliance with the CCIS security standards and policies.

Infrastructure-level security is only as secure as the building access protecting it. FACC building access control is monitored by Sonitrol through a key access system along with intrusion detection during non-business hours. Access to the data center is restricted to specifically designated staff.

18.2. User Roles

To access CCIS, authorized users must first sign-in to the secure Internet portal, using the unique login name and password provided by FACC. Once authenticated by the application server, users are able to access the data based on their security level profile. Web services use 128-bit Secure Socket Layer (SSL) encryption.

New users are required to complete and sign a User Security Agreement/Application, indicating on the form the type of case information they require access to. FACC policy requires that each entity (i.e., local Clerk's office, state agency, etc.) have an Agency CCIS Administrator assigned for the administration of all associated user accounts. The administrators have a separate CCIS account and act as the liaison between FACC and entity's user base. The administrator signs the form to indicate approval, and forwards the form to FACC. This delegation of user account requests results in localized responsibility and provides an added layer of security before the requests are screened by FACC. After reviewing the completed Agreement/Application, FACC sends the user an e-mail with their login information for access at the appropriate level.

The CCIS Security Level Matrix is used to assign the appropriate security level, based on the individual users' functional position (i.e., Judiciary, State Attorney, Public Defender, state agency, etc.). The 6-levels of security dictate the type of data a user is able to access (i.e., criminal, civil, juvenile, etc.). Users who do not log into CCIS at least once every 30 days are locked out and are required to contact FACC for password reset.

18.3. Infinity Analysis of CCIS System Security Model

System security has always been a top priority for FACC and the CCIS project. Robust and proactive security policies and procedures are integral to every facet of design, development, testing, deployment, and operational use of CCIS. Annual external security audits are conducted to ensure the highest standards of hardware, software, infrastructure, and physical security. FACC has established an impressive infrastructure supporting the secure transfer and storage of confidential CCIS information.

As the CCIS user base continues to expand, Infinity recommends more focus be placed on the following areas of user security:

1. **User Security Agreement/Application.** Surveys conducted by Infinity indicate that users have little recollection of the purpose or content of the form they were required to sign in order to establish a CCIS account. The form's signature block for the Agency CCIS Administrator is non-specific and does not require administrators to affirm that the users do indeed have a requirement to access the requested case type information. Infinity recommends a redesigned form with user-interactive fields, such as initial blocks for each key security statement. Agency Administrators should be required to positively acknowledge and approve the specific case type information the user is requesting. Consideration should also be given to requiring users to renew their Agreement/Application at specified intervals (i.e., every two years, etc.).
2. **User Passwords.** Current security policy requires a password reset if an account has been inactive for greater than 30 days, and occasionally as directed by system-wide security upgrades. To mitigate the risk to active user account password integrity, Infinity recommends mandatory fixed-period password reset intervals (e.g., 120 days). Two weeks prior to the password reset date, users should be prompted to conduct a reset at their convenience before being locked out on the fixed date.
3. **Determination of User Access Security Level.** According to the CCIS Security Level Matrix, users are assigned a security level based on their organizational affiliation. For example, Florida Department of Law Enforcement (FDLE) users are assigned Level 1 access, Guardian Ad Litem user are assigned Level 2, Department of Juvenile Justice (DJJ) users are assigned Level 5, etc. Infinity recommends a review of this policy and suggests a policy of assigning user security levels based on the user's need-to-know (as certified by the agency administrator), in addition to any organizational limitations.

19. CCIS Statewide Deployment Plan

19.1. Security and Access Policy Issues

The security and access requirements have not changed significantly for Phase IV statewide deployment. Statewide deployment has been a successful continuation of pre-existing policy as outlined in Section 18 above.

19.2. Data Integration and Data Integrity Issues

Statewide deployment plans maintain the same level of consistency regarding data integration and data integrity as in prior phases. Taking the same non-invasive approach used since project inception, FACC requires that each county contributing to CCIS conduct daily automated uploads of incremental data. Although seldom required, additional complete data uploads may be necessary after initial county integration (i.e., to reload a county's data warehouse information). The automated daily upload transmissions prevent disruption to existing Clerks' systems. At any given time, queried data within CCIS is at most one business day old, hence the age of the data is rarely a concern. Also, CCIS' centralized design relieves each individual Clerk's system from the burden of processing queries requested via CCIS. Existing statutes require that all clerks participate in CCIS by January 1, 2006.

Feedback from a user survey indicates that the data resulting from the statewide deployment has maintained a high level of integrity. However, there were some concerns expressed regarding consistency in the level of detail of provided information. For example, several users pointed out that certain data provided from one county was more useful and detailed than similar data provided by another county. The reason for this variation resides at the individual Clerks' office level, highlighting the dependency of CCIS on the initial source of data input for accuracy, thoroughness, and timeliness.

19.3. Operational Governance Issues

As with the previous three phases, the CCIS Program Committee provides project governance of CCIS as statewide implementation is completed in Phase IV. The design of Phase IV itself constitutes full stakeholder involvement as new data contributors and data users are being brought on-line county by county.

19.4. Infinity Analysis of the CCIS Stateside Deployment Plan

In the *CCIS Statewide Implementation Status Report*, dated August 12, 2005, FACC noted that several counties providing case data to CCIS have less than 100% of their data available. Among other counties included in the list are four counties that were part of CCIS Phase II implementation (Gadsden, Hamilton, Suwannee, and Taylor). Additionally, the *Report* indicates that several Phase IV counties are planning to implement CCIS with only partial data sources (e.g., Palm Beach: civil and possibly criminal, Pinellas: adult criminal, Highlands: criminal). Another important issue revealed in the report (and in previous reports dating back as early as April 20, 2005) is that several counties may be at risk of missing the December 31, 2005 deadline for implementing CCIS. Further analysis of the *Report* reveals the following areas of concern:

1. The term "participate", as used in F.S. 28.24. ("...in which system all clerks shall participate...") is not clearly defined. Some county Clerks offices are participating by making 100% of their CCIS data available, while other counties are participating at less than 100%.
2. There does not appear to be an authoritative entity responsible for the enforcement and accountability of the Clerks' participation in CCIS. The status reports produced by FACC are primarily a compilation of inputs received from remaining counties that have yet to implement CCIS.

On the CCIS web site “Disclaimer” page (the initial page a user is directed to after logon), a state map is displayed with each county that provides case data to CCIS shaded in green. Minimized text adjacent to the map notes that, “Criminal, Civil, Civil Traffic, and Probate information is available for the listed counties with these exceptions:”. As of November 14, 2005, of the 55 total counties providing data to CCIS, 13 counties had exceptions listed. The text does not mention the availability, or non-availability, of the other core CCIS data sources; Criminal Traffic, Juvenile, and Child Support.

Infinity recommends the following regarding the *CCIS Statewide Implementation Status Report* and the web site’s “Disclaimer” page:

1. FACC should maintain the *Report* prominently linked from both the “Disclaimer” and “Logon” pages. The report should be updated weekly until all 67 counties have achieved 100% of their data availability. Detailed implementation plans (including timelines, barriers to implementation, contact information, etc.) for each county and data source should be included in the report.
2. The map displayed on the “Disclaimer” page should be enhanced to reflect the actual implementation status of counties which are providing less than 100% of their available data. These counties should be shaded in a color other than green (e.g., yellow) so as to make it more intuitive to users which counties are not fully implemented. Additionally, the text detailing the counties with exceptions should be more comprehensive, and reformatted to provide more clarity and readability.
3. Infinity further recommends that functionality results (i.e., Person Search, Case Search, etc.) be clearly marked to highlight any sources that are not available. This information would provide important notice to the user of gaps in search coverage, and guide the user to contact the specific county(s) to ensure all-inclusive results.

Special Consideration: CCIS as a Model for Statewide Integration

If CCIS is to be used as a model for statewide integration, it has several advantages:

1. It is a web-based application, allowing for simple distribution and management (i.e., it is very easy to expand to new user groups);
2. The hardware and software infrastructure is currently in place for significant expansion of the system;
3. FACCSG, the organization supporting CCIS, is an experienced software development group, particularly in this domain (i.e., court and related data);
4. Adding connections to new sources of data is relatively straightforward and inexpensive; and,
5. The system has a successful track record of meeting user needs and performing up to industry standards.

However, we do have several recommendations that would make CCIS a better model for statewide integration. Some of these recommendations are mentioned in other sections of the report, but are repeated here when applicable.

1. Since CCIS is owned and operated by a private entity, the state must secure some means of retaining a license, outright ownership, or some other method to ensure continued use of CCIS. Without this, making CCIS a part of statewide integration strategy is risky;
2. If the state shall continue to rely on FACC to support the core CCIS product (or extended, statewide products) then the state should increase its participation in the management of CCIS. For example, the recently initiated audit program should be continued or expanded; frequent status reports should be made to the Legislature (by way of the Article V Technology Board); yearly and quarterly budgets and actual expenditures should be provided to the Legislature; and the strategic planning associated with expanding CCIS should be conducted by all stakeholders;

3. As discussed earlier, the documentation practices, particularly project management documentation, must be improved. As also mentioned earlier, FACCSG is currently implementing the ITIL methodology, which may resolve this issue.
4. We also recommend implementing XML as the interface between CCIS and its source (and target) systems. The state has adopted Global Justice XML as its XML standard. Accordingly, the systems which support the model (in this case, CCIS) should also use the approved XML for all its data exchanges. In both the long and short term, this will greatly simplify the implementation of new data sources and the maintenance of existing sources. Additionally, it will facilitate the acceptance of a statewide data dictionary. Note that CCIS is in the process of incorporating Global Justice XML into CCIS.



Addendum I

This addendum was presented by FACC to the Board on 12/16/2005 as pages 5 and 6 of a larger document concerning the entire Report. The Board agreed to include this portion, which are comments on the report, as an addendum. Accordingly, it has been incorporated as is. The authors of this report have no opinion or commentary on this addendum, as it is outside the project scope.

FACC Comments to Specific Recommendations on Page 79-80

1. Since CCIS is owned and operated by a private entity, the state must secure some means of retaining a license, outright ownership, or some other method to ensure continued use of CCIS. Without this, making CCIS a part of statewide integration strategy is risky;

FACC Response

CCIS is owned and operated by the Florida Association of Court Clerks (FACC). FACC was recognized by the Office of the State Courts Administrator (OSCA) as having legal authority to operate CCIS. The following language is provided from the April 2005 MOU between FACC and OSCA:

“The parties agree that FACC operates CCIS as an agent of the individual clerks of court in partial performance of the clerks’ court-related records maintenance function and in that role, FACC is subject to all statutes, court rules and Supreme Court administrative orders applicable to clerks in the performance of that function.”

This issue has been referred to legal counsel for further review.

2. If the state shall continue to rely on FACC to support the core CCIS product (or extended, statewide products) then the state should increase its participation in the management of CCIS. For example, the recently initiated audit program should be continued or expanded; frequent status reports should be made to the legislature (by way of the Article V Technology Board); yearly and quarterly budgets and actual expenditures should be provided to the legislature; and the strategic planning associated with expanding CCIS should be conducted by all stakeholders;

FACC Response

FACC welcomes the opportunity to provide on-going CCIS status and budgetary reports to the legislature. Reports are regularly provided to the CCIS Project Committee and these reports were used as a resource for this document. As CCIS functionality is expanded, strategic planning will continue to be conducted with all stakeholders. Regarding certain budgetary information contained in the Infinity report, it should be noted that all current CCIS budget and actual expense information was provided to Infinity upon request. Much of this data was requested at the end of the evaluation period. The budgetary information was voluminous in nature and covered several project fiscal years. Some of the

conclusions in the report are presented out of context. FACC would propose that follow-up discussions take place with Infinity and the Board to clarify these specific issues.

3. As discussed earlier, the documentation practices, particularly project management documentation, must be improved. As also mentioned earlier, FACCSG is currently implementing the ITIL methodology, which may resolve this issue.

FACC Response

FACCSG is implementing the ITIL methodology to address this issue.

4. We also recommend implementing XML as the interface between CCIS and its source (and target) systems. The state has adopted Global Justice XML as its XML standard. Accordingly, the systems which support the model (in this case, CCIS) should also use the approved XML for all its data exchanges. In both the long and short term, this will greatly simplify the implementation of new data sources and the maintenance of existing sources. Additionally, it will facilitate the acceptance of a statewide data dictionary. Note that CCIS is in the process of incorporating Global Justice XML into CCIS.

FACC Response

CCIS has implemented the Global Justice XML standards as of August 15, 2005. This standard will also be utilized for all future data exchange projects.

Appendix – E

FACC Addendum to Infinity Software, Inc. Report

Addendum I

This addendum was presented by FACC to the Board on 12/16/2005 as pages 5 and 6 of a larger document concerning the entire Report. The Board agreed to include this portion, which are comments on the report, as an addendum. Accordingly, it has been incorporated as is. The authors of this report have no opinion or commentary on this addendum, as it is outside the project scope.

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FACC Response

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conclusions in the report are presented out of context. FACC would propose that follow-up discussions take place with Infinity and the Board to clarify these specific issues.

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FACC Response

CCIS has implemented the Global Justice XML standards as of August 15, 2005. This standard will also be utilized for all future data exchange projects.

Appendix – F

Preliminary list of data needs:

1. Develop consistent definition of “case” and “type of case” (e.g. felony, misdemeanor, dependency, dissolution, etc.). All items that follow should be reported in total and by type of case.
2. Number of defendants/litigants.
3. Number of cases by circuit and by county.
4. Number of counts per criminal case.
5. Number of cases where public defender is appointed.
6. Disposition of civil and criminal cases (e.g. guilty, not guilty, no lo contender, plea agreement, jury verdict, case settled after jury empanelled but prior to verdict, settlement prior to jury empanelled, court-ordered diversion/mediation, etc.).
7. Number of cases resolved through alternative dispute resolution programs.
8. Average time to dispose case by circuit/county/individual judge.
9. Number of continuances requested in criminal and Jimmy Ryce Act cases and who requested (e.g. state/PD/private counsel); how many approved vs how many denied.
10. Number of State Attorney referrals.
11. Number of State Attorney referrals disposed prior to formal charges being filed, including how disposed (e.g. diversion, no charges, etc.).
12. Number of cases per judge per circuit and county.
13. Number of jurors summonsed, number who report, number chosen to sit on a jury.
14. Number of ordinary witnesses paid at public expense by circuit and county and amount paid. Breakout ordinary witnesses in traffic cases that are law enforcement personnel.
15. Public defender due process expenditures by circuit and county.
16. Number of billable attorney hours produced by each public defender office.
17. Number of cases where a private attorney is appointed at state expense. Identify PD conflicts as subset of data (e.g. dependency).
18. Expenditures for private attorney fees including output data for unit cost calculation (e.g. billable hours, cases, etc.).
19. Number of cases where judge allows fees in excess of authorized caps by individual judge (amount of fees this number represents, again by case type).
20. Expenditures by private attorneys for “due process services” including type of service and output data for unit cost calculation.
21. Number of indigent defendants or litigants determined to be “indigent for costs”. Include count of pro se defendants and litigants.
22. Amount paid to private attorneys representing individuals determined to be indigent for costs.
23. Expenditures for due process services ordered on behalf of individuals determined to be indigent for costs including type of service and output data for unit cost calculation. Break out expenditures for pro se.
24. Number of times Justice Administrative Commission challenges payment of attorney fees or bill for due process services and outcome of challenge. Breakout who was challenged and why (e.g. public defender, private attorney, etc.)

25. Expenditures/budget by activity for all entities including clerks and including output data to calculate unit costs. Breakout by circuit/county.
26. Clerks of Court cost drivers (e.g. org. charts, salary data, etc.) by county.
27. Costs associated with special judicial orders.
28. Amount of fines, fees, service charges assessed by court by each individual judge or as matter of law and associated collections by specific source. Differentiate between mandatory and discretionary assessments and collections.
29. Number of individuals enrolled in payment plans with the clerk of court and amount of outstanding obligations associated with them.
30. Value of services provided by court administration to individuals, amount actually assessed and collected by circuit and by county.
31. Amount requested by State Attorneys and Public Defenders for cost of prosecution/defense and amount awarded by court by individual judge. Include associated collections.
32. Amount billed vs collected from local governments by state attorneys and public defenders. Include billable hours data.
33. Disbursement of court-related revenue by recipient and by source.
34. Expenditures for worthless check diversion programs and fees collected by each state attorney to cover costs.
35. Amount spent by local government for both optional and mandatory court system activities by activity and by funding source, including numbers served.
36. Detail on local government use of \$4 recording fee increase earmarked for court system technology.
37. County by county schedule of filing fees, service charges, etc. for each type of case (include any local optional additions).
38. Number of applications for determination of indigency; how many approved/disapproved by clerk; how many clerk decisions appealed to judge; how many approved/disapproved by judge. Data by county/circuit/individual judge.
39. Number of capital cases where death penalty was sought; number where death penalty imposed.
40. Number of complaints filed against CCRC and registry lawyers for incompetence.
41. Number of CCRC and registry lawyer complaints reviewed by Supreme Court.
42. Number of CCRC and registry lawyers disciplined for incompetence.
43. Number of ethics complaints filed against CCRC and registry attorneys.
44. Number of ethics violations found against CCRC and registry attorneys.
45. Number of capital collateral registry attorneys who ask for fees in excess of caps by attorney; number of registry attorneys awarded fees in excess of caps by judge (and the total amount of funds this represents).
46. Number of persons removed from capital collateral registry by the Executive Director of the Commission on Capital Cases for seeking excess fees.
47. Number of capital cases where the defendant claimed exemption from execution based on mental retardation; number of cases where the defendant prevailed; number of cases where defendant prevailed and number of these determinations appealed by state.

Article V Technology Board
House & Senate Oversight Committee Data Needs List
(10/28/2005)

Definitions

- 1. Develop consistent definition of “case” and “type of case” (e.g. felony, misdemeanor, dependency, dissolution, etc.). All items that follow should be reported in total and by type of case.**

OSCA: Definitions of cases and types of cases by division of court are found in the *OSCA Summary Reporting System Manual, January 2002*. The complete manual, with technical memorandums, is found at:
http://www.flcourts.org/gen_public/pubs/srsmanual.shtml

DFS: Data not available through DFS.

JAC: JAC relies on the charging documentation when classifying case types in our court-appointed attorney database.

Counts

- 2. Number of defendants/litigants.**

OSCA: The defendants/litigants statistics, in total and by case type, are found at:
http://www.flcourts.org/gen_public/stats/reference_guide.shtml and are published in the *OSCA Statistical Reference Guide to the Trial Courts*, annually. In addition, web based queries on these statistics can be accessed at: **<http://trialstats.flcourts.org/>**.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

- 3. Number of cases by circuit and by county.**

OSCA: The cases by circuit and county statistics, in total and by case type, are found at:
http://www.flcourts.org/gen_public/stats/reference_guide.shtml and are published in the *OSCA Statistical Reference Guide to the Trial Courts*, annually. In addition, web based queries on these statistics can be accessed at: **<http://trialstats.flcourts.org/>**.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

4. Number of counts per criminal case.

- OSCA: The number of counts per criminal case statistics, by circuit and county, are found at:
http://www.flcourts.org/gen_public/stats/reference_guide.shtml and are published in the OSCA *Statistical Reference Guide to the Trial Courts*, annually. In addition, web based queries on these statistics as well as by case type can be accessed at: <http://trialstats.flcourts.org/>. However, the calculation of counts per criminal case would have to be performed manually, as that statistic is not produced routinely by the web base query data system.
- DFS: Data not available through DFS.
JAC: Data not available through JAC.

5. Number of cases where public defender is appointed.

- OSCA: The number of cases where a public defender is appointed, in total and by case type, is found in the **Offender Based Transaction System data (OBTS)**. The 67 clerks of court are required to submit this felony and misdemeanor data to the OSCA and the Florida Department of Law Enforcement (FDLE) each month. However, this field is not maintained by the OSCA. It is unknown how reliable this data is actually reported. FDLE may have this information.
- DFS: Data not available through DFS.
JAC: Data not available through JAC.

6. Disposition of civil and criminal cases (e.g. guilty, not guilty, nolo contendere, plea agreement, jury verdict, case settled after jury empanelled but prior to verdict, settlement prior to jury empanelled, court-ordered diversion/mediation, etc.).

- Likely Source: Unknown
OSCA: Unknown
DFS: Unknown
JAC: Unknown

7. Number of cases resolved through alternative dispute resolution programs.

- OSCA: The number of cases that were resolved through an alternative dispute resolution program is not completely known. The OSCA produces an annual report “*Florida Mediation and Arbitration Programs: A Compendium*”, which documents the number of cases by division, that are referred, mediated and resolved, where the court staff have access to the data. This data is not maintained electronically on a statewide level and is not audited. The data is not uniformly being collected, in that some areas report only state funded mediation activity and other areas report privately funded mediation activity and/or other alternative dispute resolution activity.
- DFS: Data not available through DFS.
JAC: Data not available through JAC.

8. Average time to dispose a case by circuit/county/individual judge.

Likely Source: Unknown
OSCA: Unknown
DFS: Unknown
JAC: Unknown

9. Number of continuances requested in criminal and Jimmy Ryce Act cases and who requested (e.g. state/PD/private counsel); how many approved versus how many denied.

Likely Source: Clerks of Court
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

10. Number of State Attorney referrals.

Likely Source: State Attorneys
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

11. Number of State Attorney referrals disposed prior to formal charges being filed, including how disposed (e.g. diversion, no charges, etc.).

Likely Source: State Attorneys
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

12. Number of cases per judge per circuit and county.

Likely Source: Clerks of Court and FACC
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

13. Number of jurors summonsed, number who report, number chosen to sit on a jury.

OSCA: The number of jurors summonsed, who report and who are chosen to sit on a jury are reported monthly by the 67 clerks of court to OSCA. These data are not reported by type of case or division of court. The data are housed electronically at OSCA in a database and reported on an ad hoc basis.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

14. Number of ordinary witnesses paid at public expense by circuit and county and amount paid. Breakout ordinary witnesses in traffic cases that are law enforcement personnel.

Likely Source: State Attorneys, Public Defenders
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

15. Number of billable attorney hours produced by each public defender office.

Likely Source: Public Defenders
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

16. Number of cases where a private attorney is appointed at state expense. Identify PD conflicts as subset of data (e.g. dependency).

OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data available through JAC: based upon invoices submitted.

17. Number of cases where judge allows fees in excess of authorized caps by individual judge (amount of fees this number represents, again by case type).

OSCA: The number of cases where a judge allows fees in excess of authorized caps by individual judge by case type is partially found in the **Offender Based Transaction System (OBTS)** data. The 67 clerks of court are required to submit this felony and misdemeanor data to the OSCA and the Florida Department of Law Enforcement (FDLE) each month. However, the individual judge name field is not maintained by the OSCA. Additionally, the amount of fees assessed, identified in OBTS as “court costs”, may not be broken out by the different types of fees assessed. And, it is unknown how reliable this data is actually reported. FDLE may have this information. Further, the court costs would have to be matched to a fee structure table that identifies authorized caps by county, which can vary.

DFS: Data not available through DFS.
JAC: Data available through JAC.

18. Number of indigent defendants or litigants determined to be “indigent for costs”. Include count of pro se defendants and litigants.

OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data available through JAC: based upon invoices submitted.

19. Number of times Justice Administrative Commission challenges payment of attorney fees or bill for due process services and outcome of challenge. Breakout who was challenged and why (e.g. public defender, private attorney, etc.).

OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data available through JAC.

20. Number of individuals enrolled in payment plans with the clerk of court and amount of outstanding obligations associated with them.

Likely Source: Clerks of Court Operations Corporation (CCOC) or individual Clerks of Court
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data available through JAC: based upon invoices submitted.

21. Number of applications for determination of indigency; how many approved/disapproved by clerk; how many clerk decisions appealed to judge; how many approved/disapproved by judge. Data by county/circuit/individual judge.

Likely Source: Clerks of Court
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

22. Number of capital cases where death penalty was sought; number where death penalty imposed.

OSCA: The number of capital cases where the death penalty was sought and imposed is partially found in the **Offender Based Transaction System (OBTS)** data. The 67 clerks of court are required to submit this felony and misdemeanor data to the OSCA and the Florida Department of Law Enforcement (FDLE) each month. However, the OBTS system only identifies if the prosecutor is charging a capital case, not if the death penalty is being sought. The OBTS does identify if the sanction imposed is the death penalty. These data are available by case type.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

23. Number of complaints filed against Capital Collateral Regional Counsel (CCRC) and registry lawyers for incompetence.

Likely Source: Florida Bar Association Grievance Committee
OSCA: The number of complaints filed in the Supreme Court against CCRC and registry lawyers for incompetence is not maintained electronically. Each individual file would have to be reviewed to determine if it applied to a CCRC or registry lawyer.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

24. Number of CCRC and registry lawyer complaints reviewed by Supreme Court.

OSCA: The number of complaints reviewed by Supreme Court against CCRC and registry lawyers is not maintained electronically. Each individual file would have to be reviewed to determine if it applied to a CCRC or registry lawyer.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

25. Number of CCRC and registry lawyers disciplined for incompetence.

OSCA: The number of CCRC and registry lawyers' complaint outcomes is not maintained electronically. Each individual file would have to be reviewed to determine if it applied to a CCRC or registry lawyer.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

26. Number of ethics complaints filed against CCRC and registry attorneys.

Likely Source: Florida Bar Association
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

27. Number of ethics violations found against CCRC and registry attorneys.

Likely Source: Florida Bar Association
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

28. Number of capital collateral registry attorneys who ask for fees in excess of caps by attorney; number of registry attorneys awarded fees in excess of caps by judge (and the total amount of funds this represents).

Likely Source: Florida Capital Collateral Regional Counsel
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

29. Number of persons removed from capital collateral registry by the Executive Director of the Commission on Capital Cases for seeking excess fees.

Likely Source: Florida Capital Collateral Regional Counsel
OSCA: Data not available through OSCA.
DFS: Data not available through DFS.
JAC: Data not available through JAC.

30. Number of capital cases where the defendant claimed exemption from execution based on mental retardation; number of cases where the defendant prevailed; number of cases where defendant prevailed and number of these determinations appealed by state.

Likely Source: Florida Commission on Capital Cases

OSCA: The number of capital cases where the defendant claimed exemption from execution based on mental retardation; the number of cases where the defendant prevailed and the number of these determinations appealed by the state is maintained electronically. However, these types of appeals for mental retardation can not be distinguished from other 3.851's. Each individual file at the Supreme Court level would have to be reviewed to determine the outcome of the appeal. Data at the trial court level is unknown.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

Expenditures

31. Public defender due process expenditures by circuit and county.

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data available through JAC.

32. Expenditures for private attorney fees including output data for unit cost calculation (e.g. billable hours, cases, etc.).

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data available through JAC: expenditures by case for court-appointed conflict counsel and dependency attorneys.

33. Expenditures by private attorneys for “due process services” including type of service and output data for unit cost calculation.

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data available through JAC: expenditures by case for court-appointed conflict counsel and dependency attorneys.

34. Expenditures for due process services ordered on behalf of individuals determined to be indigent for costs including type of service and output data for unit cost calculation. Break out expenditures for pro se.

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data available through JAC: expenditures by case for court-appointed conflict counsel and dependency attorneys.

35. Expenditures/budget by activity for all entities including clerks and including output data to calculate unit costs. Breakout by circuit/county.

OSCA: Expenditure and budget data by activity for the judicial branch is housed in the FLAIR system. The output data by activity is reported in the Long Range Program Plan to the Office of the Governor. However, data is currently not provided by circuit or county for expenditure, budget or output data.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

36. Expenditures for worthless check diversion programs and fees collected by each state attorney to cover costs.

Likely Source: State Attorneys

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

Amounts

37. Amount paid to private attorneys representing individuals determined to be indigent for costs.

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data available through JAC.

38. Amount requested by State Attorneys and Public Defenders for cost of prosecution/defense and amount awarded by court by individual judge. Include associated collections.

Likely Source: State Attorneys, Public Defenders and Clerks of Court

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: N/A - State Attorney and Public Defender expenditures do not require a court order.

39. Amount billed versus collected from local governments by state attorneys and public defenders. Include billable hours data.

Likely Source: State Attorneys, Public Defenders and JAC

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: JAC only has the amount collected.

40. Amount of fines, fees, service charges assessed by court by each individual judge or as matter of law and associated collections by specific source. Differentiate between mandatory and discretionary assessments and collections.

OSCA: The amount of fines, fees service charges assessed by court by each individual judge or as a matter of law and associated collections by specific source is partially found in **the Offender Based Transaction System (OBTS)** data. The 67 clerks of court are required to submit this felony and misdemeanor data to the OSCA and the Florida Department of Law Enforcement (FDLE) each month. However, the individual judge name field is not maintained by the OSCA. Additionally, the amount of fees assessed, identified in OBTS as “court costs”, may not be broken out by the different types of fees assessed. And, it is unknown how reliable this data is actually reported. FDLE may have this information. And, mandatory and discretionary distinctions are not available.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

41. Amount spent by local government for both optional and mandatory court system activities by activity and by funding source, including numbers served.

Likely Source: Individual Cities and Counties

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

Costs/Values/Disbursements

42. Clerks of Court cost drivers (e.g. org. charts, salary data, etc.) by county.

Likely Source: Clerks of Court

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

43. Costs associated with special judicial orders.

Likely Source: Individual Clerks of Court

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

44. Value of services provided by court administration to individuals, amount actually assessed and collected by circuit and by county.

Likely Source: OSCA (at circuit-level)

OSCA: The amount of revenue collected by court administration for services is reported by the 20 court administration offices to the OSCA. These revenues are provided by source (court reporting, custody, transcripts, etc) at the circuit level only.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

45. Disbursement of court-related revenue by recipient and by source.

Likely Source: Unknown - definition too broad for adequate response.

OSCA: Data not available through OSCA.

DFS: Data not available through DFS.

JAC: Data not available through JAC.

46. Detail on local government use of \$4 recording fee increase earmarked for court system technology.

Likely Source: Unknown

OSCA: Unknown

DFS: Unknown

JAC: Unknown

47. County by county schedule of filing fees, service charges, etc. for each type of case (include any local optional additions).

Likely Source: Unknown

OSCA: Unknown

DFS: Unknown

JAC: Unknown

Appendix – G

Appendix – H

Glossary of Terms

Adjudication – A finding, verdict, or other resolution in a trial court case.

AFIS – (Automated Fingerprint Identification System) The AFIS is a fingerprint (biometric database) and criminal history system maintained by the Florida Department of Law Enforcement. The AFIS system provides automated fingerprint search capabilities, latent searching capability, electronic image storage, and electronic exchange of fingerprints.

Agency-Centric – Solutions (manual or automated) to legitimate business problems that focus strictly on the “specific problem” without examining or including related problems within the agency or related issues and needs outside the agency.

Arrest – Taking an adult or juvenile into physical custody by authority of law, for the purpose of charging the person with a criminal offense or a delinquent act or status offense, terminating with the recording of a specific offense.

Biometrics – Automated methods of recognizing a person based on a physiological or behavioral characteristic. Among the features commonly measured are: face, fingerprints, hand geometry, handwriting, iris, and voice.

Board – Article V Technology Board – Established by 29.0086, F.S. to advise the Governor, Legislature, and Chief Justice regarding integration opportunities within the state court system entities and other participants.

Business Process Analysis – A business process is a set of logically related business activities that combine to deliver something of value (e.g. products, goods, services, or information) to a customer. Business process analysis is the study of that process in order to identify opportunities to add value (i.e., better) and to reduce costs of delivery where appropriate.

CCDE – (Catalog of Common Data Elements) A web-based repository of data elements and associated attributes (element name, type, length, edit criteria, etc.) that are found within automated systems of the various state court system entities and participants. The goal of the CCDE is to foster sharing and exchange of data among these organizations by eventually mapping each element to a platform and language-independent GJXML (Global Justice Extensible Markup Language) tag.

CCIS – (Comprehensive Case Information System) Developed by the Florida Association of Court Clerks and Comptroller, Inc., CCIS is a secured internet portal providing a single point of search for statewide court case information.

- CFO** – (Chief Financial Office of Florida) Created by an amendment to the Florida Constitution in 1998, which merged the cabinet positions of State Treasurer and State Comptroller. The CFO oversees the Department of Financial Services, which is responsible for assisting consumers who need information and help related to financial services, including banking, securities and insurance. In addition, the department keeps track of all money coming into and going out of state government.
- CJJIS** – (Criminal and Juvenile Justice Information Systems Council) Established by Chapter 943.06, F.S., the CJJIS Council’s mission is to facilitate the identification, standardization, sharing, and coordination of criminal and juvenile justice data and other public safety system data among federal, state, and local agencies.
- CJNET** – (Criminal Justice Network) The CJ Net is a backbone communications network for Florida’s criminal justice agencies. The Florida Department of Law Enforcement, working with agencies represented on the CJJIS Council provides the networking infrastructure that enables Florida’s criminal justice agencies to share information at all levels of government.
- CLERC** – (Clerk of Court Child Support Collection System) Developed by the Florida Association of Court Clerks and Comptroller, Inc., this system is one of a group of interrelated systems that support the processes of collection, disbursement and reporting of child support payments.
- Clerk** – (Clerk of the Court) Established by the Constitution of Florida in 1838, the Clerk is the public trustee for the county. The Clerk provides the checks and balances in county government by acting in their capacity as Clerk to the Board, Clerk to the Court, keeper of the public records, Comptroller and Internal Auditor of county funds.
- Common Data Dictionary** – A document or database containing descriptive information about data elements that are common to all automated systems within a given organization or group of organizations.
- Comprehensive Risk Assessment** – A formal analysis of risk factors that can compromise the confidentiality, integrity, and availability of critical information technology assets within an organization.
- Conviction** – A judgment of a court, based on the verdict of a jury, the decision of a judicial officer or the guilty plea of the defendant, that the defendant is guilty of the offenses(s) (or a lesser included offense) of which he has been charged.
- COOP** – (Continuity of Operations Plan) Plans developed by an organization to ensure the safety of employees and the resumption of time-sensitive operations and services in case of potential emergencies, including localized acts of nature, accidents, and technological and/or attack-related emergencies.
- COTS** – (Commercial Off The Shelf) A product that is used "as-is." COTS products are designed to be easily installed and to interoperate with existing system components. Almost all software bought by the average computer user fits into the COTS category: operating systems, office

product suites, word processing, and e-mail programs are among the myriad examples. One of the major advantages of COTS software, which is mass-produced, is its relatively low cost.

Court – A unit of the judicial branch of government authorized or established by constitution or statute, which has the legal authority to decide **cases** or controversies brought before it.

Court-Centric – Data or processes that center around (and are primarily relevant to) the state court system.

Criminal Case – a broad classification category for trial court cases in which a defendant is charged with a violation of state law(s).

Cyber Security Audit – A formal assessment of measures taken by an organization to protect their information assets against unauthorized disclosure, transfer, modification, or destruction, whether accidental or intentional.

Data Element – The basic unit of identifiable and definable information. It has an identifying name and value or values for expressing a specific fact (i.e. name, address, or age).

Data Warehouse – A data warehouse is a database geared towards the business intelligence requirements of an organization. The data warehouse integrates data from the various operational systems and is typically loaded from these systems at regular intervals. Data warehouses contain historical information that enables analysis of business performance over time.

Defendant – A person required to answer an accusation in a criminal case or traffic/other violation, or a complaint in a civil case.

Defense Attorney –the law trained and licensed individual or firm charged with the responsibility of protecting the legal rights of and defending the individual (defendant) in this case at law. If authorized by law or the court, the term defense attorney may include a non-lawyer citizen acting as attorney in fact for the defendant.

DOC – (Florida Department of Corrections) A Florida government agency whose primary responsibility is the custody of inmates in state prisons and the supervision of offenders sentenced to probation or parole.

DCF – (Florida Department of Children and Families) A Florida government agency whose primary responsibility is to promote the social, emotional, physical and economic well-being and the safety of Florida's children and families. This is done through the provision of protective, developmental, therapeutic, probation, economic, and other support services for children and families in partnership with schools, businesses, community leaders, service providers, families, and youths statewide.

DHSMV – (Florida Department of Highway Safety and Motor Vehicles) A Florida government agency responsible for issuing driver licenses, motor vehicle titles, license plates and vessel registrations as well as overseeing the Florida Highway Patrol.

Disparate Systems – Automated systems that (by nature of their function or design) are not interconnected with other systems and do not share data externally.

Disposition – The termination of a case pending before a court with a prescribed outcome.

Division of Statutory Revision – A unit of the Florida Legislature’s Office of Legislative Services, which is responsible for the continuous revision of the Florida Statutes, including editing, compiling, indexing, and publishing.

DL – (Driver’s License) A legal document issued by the Florida Department of Highway Safety and Motor Vehicles, which extends the privilege to operate motor vehicles, and serves as a means of personal identification.

DMS – (Florida Department of Management Services) A Florida government agency whose primary responsibility is the management of "business costs" associated with running Florida's government.

DOE – (Florida Department of Education) A Florida state government agency whose primary responsibility is to ensure equal access to education and to promote educational excellence throughout the state.

DOH – (Florida Department of Health) A Florida state government agency whose primary responsibility is to promote and protect the health and safety of all people in Florida through the delivery of public health services and the promotion of health care standards.

DOR – (Florida Department of Revenue) A Florida state government agency whose primary responsibilities are the collection of revenues, licensure and regulation of qualified persons and entities, and operation of the child support payment/enforcement process.

DRP – (Disaster Recovery Plan) A document that defines the resources, actions, tasks and data required to manage the recovery of business processes in the event of a disaster. The plan consists of the precautions taken so that the effects of the disaster will be minimized, and the organization will be able to either maintain or quickly resume mission-critical functions.

ESB – (Enterprise Service Bus) Integration software that allows an organization’s Information Technology assets (multiple generations of business applications, technologies and architectures) to seamlessly work together without having to make expensive and risky changes to them.

FACC – (Florida Association of Court Clerks and Comptroller, Inc.) The Florida Association of Court Clerks is a not-for-profit professional association chartered pursuant to Florida Statutes. Membership is composed of Florida’s elected Clerks of the Circuit Court and Comptroller.

FACCSG – (Florida Association of Court Clerks and Comptroller Services Group, LLC). The FACC Services Group is a limited liability company organized under the laws of the State of Florida and governed by a Board of Managers who are elected for two-year terms by the Clerks of the Circuit Court. The FACC Services Group is a wholly owned subsidiary of the Florida Association of Court Clerks.

FBI – (Federal Bureau of Investigation) Founded in 1908, the FBI is the investigative arm of the US Department of Justice. The mission of the FBI is to protect and defend the United States against terrorist and foreign intelligence threats, to uphold and enforce the criminal laws of the United States, and to provide leadership and criminal justice services to federal, state, municipal, and international agencies and partners.

FCIC – (Florida Crime Information Center) FCIC is the State of Florida’s law enforcement/criminal justice information system. FCIC is maintained by the Florida Department of Law Enforcement.

FDLE – (Florida Department of Law Enforcement) A Florida government agency whose primary responsibility is to promote public safety and strengthen domestic security by providing services in partnership with local, state and federal criminal justice agencies to prevent, investigate, and solve crimes while protecting Florida's citizens and visitors. FDLE delivers investigative, forensic and information systems services to Florida's criminal justice community such as criminal history record checks, the seal and expunge of criminal history records, sexual predator and career offender tracking, crime statistics, and a missing children information clearinghouse.

FEID – (Federal Employer Identification Number) A nine-digit number that the Internal Revenue Service assigns to business entities, used to identify taxpayers that are required to file various business tax returns.

Fiber Link – A communications link that transmits signals by means of modulated light propagated in an optical fiber.

FPAA – (Florida Prosecuting Attorney Association) A nonprofit corporation of the 20 State Attorneys, created to serve the needs of prosecutors. The primary functions of the Association office are education through seminars, publications and technical support.

FPDA – (Florida Public Defender Association) Founded in 1974, The Florida Public Defender Association, Inc. and the Florida Public Defenders Coordination Office provides training, support, and services to the Public Defenders, Assistant Public Defenders, and support staff of the state of Florida.

Frame Relay – A communications protocol used for connecting devices on a Wide Area Network (WAN).

FSA – (Florida Sheriff’s Association) Founded in 1893, the Florida Sheriffs Association is a not-for-profit 501(c)3 corporation made up of the 67 Sheriffs of Florida, approximately 3,500 business

leaders and 85,000 citizens throughout the state. The primary responsibility of the FSA is to support the needs of the state's law enforcement community by providing a forum to address lawmakers to push for positive change in the criminal justice system, providing affordable training, establishing special task forces and providing legislative and legal services.

GJXML – (Global Justice Extensible Markup Language) – eXtensible Markup Language, or "XML," is an open standard base that allows agencies to exchange data, regardless of computer system or platform. XML defines the structure and meaning of data records through simple but carefully defined syntax rules and provides the common framework to facilitate cross-platform data exchange. Justice XML **extends** XML to the justice and public safety communities by providing a standard vocabulary and semantic building blocks that can be reused and extended by practitioners, integrators, and vendor communities.

ICD – (Interface Control Document) A document that describes the relationship between two components of a system in terms of data items and messages passed, protocols observed and timing and sequencing of events.

Infinity – (Infinity Software Development, Inc.) Founded in 1994, Infinity is a Tallahassee-based corporation consisting of 175 professionals that provide strategic planning, needs assessment, client/server programming, interactive multimedia, Internet/intranet development, networking, and mainframe services.

Integration – In accordance with the definition of “integration” in 29.0086 F.S., it is defined as the minimum requirements needed to provide authorized users of the state courts system, the Legislature, and authorized Executive Branch agencies access to data reasonably required for the performance of official duties regardless of where the data is maintained. Such access should enable the secure and reliable transfer and exchange of state court system and legislative reporting data across multiple state and county systems involving multiple users at both the state level and within each judicial circuit.

Integration and Interoperability Document – A document that defines requirements and standards for interoperability and integration within a given organization or environment. The requirements are 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’s standards and best practices for integration and interoperability.

Integration Models – Automated systems that communicate information internally or externally (inside or outside the organization within which they operate) are defined as “integration models.” Integration models of all types exist throughout Florida, and at all levels of government. From the single point to point exchange between applications that operate on the same computer to the most complicated information exchanges that operates on a multitude of computers, at many locations, and that involve every combination of communications technology. Integration models can describe a “Legacy” system developed twenty-five (25) years ago or the latest and greatest “metadata mining” tool or “data warehouse” currently available.

ISO – (International Organization for Standardization) An organization that sets international standards, founded in 1946. ISO carries out its work through more than 185 technical committees and 2,700 subcommittees and working groups, and is comprised of standards organizations from over 75 countries.

IT – (Information Technology) The broad subject concerned with all aspects of managing and processing information, especially within a large organization or company.

ITIL – (Information Technology Infrastructure Library) A widely accepted methodology for managing Information Technology services and the software development process.

Impediments to Data Sharing – Any constraint (technological, geographical, fiscal, policy or procedure-related) that hinders the sharing and exchange of information.

ITN – (Invitation to Negotiate) A formal invitation, from a procuring public body to prospective contractors, to present bids (including pricing) for a contract.

JAC – (Judicial Administrative Commission) Created in 1965, the Justice Administrative Commission administratively serves the offices of State Attorneys, Public Defenders, Capital Collateral Regional Counsels and the Statewide Guardian Ad Litem Program; and, provides compliance and financial review of the court-appointed attorney due process costs.

JAD – (Joint Applications Development) An approach to systems analysis and design introduced by IBM in 1977 that emphasizes teamwork between user and technician. Small groups meet to determine system objectives and the business transactions to be supported. They are run by a neutral facilitator who can move the group toward well-defined goals. Results include a prototype of the proposed system.

Jessica Lunsford Act - Passed by the Florida Legislature during the 2005 legislative session and signed into law, the bill requires 25-year minimum prison terms for people convicted of certain sex crimes against children and lifetime tracking by global positioning satellite once they are outside of prison. The bill also requires more monitoring of people convicted of molesting older children. The new requirement only affects people convicted in the future, but it also has a provision that provides for GPS tracking of sex offenders who violate probation. From an implementation perspective, a number of state agencies are affected by the act in terms of operational, recordkeeping and reporting requirements.

JIEM - (Justice Information Exchange Model) – an industry-leading software toolset used throughout the United States to facilitate the development of integrated justice information systems. JIEM was developed by SEARCH, the National Consortium for Justice Information and Statistics with funding by the Bureau of Justice Assistance, U.S. Department of Justice.

JIS – (Judicial Information System) Developed in conjunction with Metatomix and the Florida State Court System, JIS streamlines information from a variety of Florida agencies into a single, central dashboard accessible by judges and support related personnel while allowing participating agencies to retain control over their individual database content. The system

allows authorized users to query critical information simultaneously among participating state data sources. The system currently connects to 13 systems including:

- Florida Crime Information Center (FCIC)
- The Florida Summary (a summary of the Florida Rap Sheet providing easy readability)
- National Crime Information Center (NCIC)
- Department of Highway Safety and Motor Vehicles (DHSMV)
- Department of Corrections (DOC) and the
- Comprehensive Case Information System (CCIS).

Judge – an elected or appointed public official, charged with the responsibility of conducting cases, controlling proceedings, and deciding questions based on statutory law or discretion.

Justice Portal – a justice content-specific web site that the owner positions as an entrance to other sites on the internet.

LAN – (Local Area Network) A group of computers and associated devices that share a common communications line or wireless link and typically share the resources of a single processor or server within a small geographic area (for example, within an office building). Usually, the server has applications and data storage that are shared in common by multiple computer users.

Legacy System – Any information system that significantly resists modification and evolution to meet new and constantly changing business requirements. Most often, these systems continue to be used due to the prohibitive cost of replacing or redesigning them.

LegalXML – (Legal eXtensible Markup Language) – As a complementary standard to GJXML, LegalXML represents an open, non-proprietary technical standard for structuring legal documents and information using XML and related technologies.

LexisNexis – One of the leading worldwide providers of automated, real-time, fraud prevention, identity verification, risk scoring and collection solutions.

LiveScan – A machine that replaces the use of ink and roll fingerprints for collecting biometric identification information. Fingers are rolled across a glass platen, scanned into a computer, and converted to a digital form of storage. Fingerprint cards are then printed out on a laser printer. The machine will immediately reject low quality prints.

Load Balancing – The distribution of processing and communications activity evenly across a computer network so that no single device is overwhelmed.

Metadata Mining – The process of collecting, reporting and analyzing metadata. Metadata can be loosely defined as “data about data” (i.e. the set of data that describes locations for data sources, data types used within applications, and dictionary-like descriptions of the data being used).

Metatomix – (Metatomix, Inc.) Founded in 2000, Metatomix is a Boston, Massachusetts-based software company that specializes in the development of integrated solutions in the areas of Risk Management and Justice.

- Mnemonics** – a word, abbreviation, rhyme, or similar verbal device you learn or create in order to remember something. In the context of computer languages, a mnemonic is an abbreviation (acronym) for an operation, such as INC for increment, BAL for branch-and-link, etc.
- MSF** – (Microsoft Solution Framework) A deliberate and disciplined approach to development of business-driven technology solutions based on a defined set of principles, models, disciplines, concepts, guidelines, and proven practices from Microsoft.
- NCIC** – (National Crime Information Center) Operated by the Federal Bureau of Investigation, NCIC is a database system that provides Federal, State, and Local Agencies with access to criminal information including Wanted Persons, Vehicles, Boats, Guns, License Plates, Articles, and Securities.
- NIEM** – (National Information Exchange Model) – Based on the existing GJXML standard and jointly developed by the U.S. Departments of Justice and Homeland Security, NIEM is the “next generation” standard and data model for data sharing and exchange among justice partners. NIEM lays the foundation for agencies throughout the United States (including criminal justice, emergency response, border security, public health, welfare and education to name a few) to exchange data in a standardized, universally-accepted format.
- NIST** – (National Institute for Standards and Technology) Founded in 1901, NIST is a non-regulatory federal agency within the U.S. Commerce Department's Technology Administration whose primary mission is to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology.
- OASIS** – (Organization for the Advancement of Structured Information Standards) A not-for-profit, international consortium that drives the development, convergence, and adoption of e-business standards.
- OBTS** – (Offender Based Tracking System) A system for collecting information on offenders, including: names/identifying data, criminal histories, court data, dispositions, restraining/protective orders, incarceration status, probation information, and parole/probation status.
- OPPAGA** – (Office of Program Policy and Government Analysis) Created in 1994 by the Florida Legislature, OPPAGA is a research unit that conducts studies on Florida agencies and programs to identify opportunities to improve services to citizens and cut government costs.
- OSCA** – (Office of the State Courts Administrator) Created in 1972, OSCA serves as the liaison between the judicial branch, legislative branch, executive branch, the auxiliary agencies of the Court, and national court research and planning agencies.
- PD** – (Public Defender) An attorney or a staff of attorneys, usually publicly appointed, having responsibility for the defense of those unable to afford or obtain legal assistance.
- Portal** – a web site that the owner positions as an entrance to other sites on the internet.

Prosecutor –an elected or appointed official, representing the government, and charged with the responsibility of pursuing legal remediation regarding the crime(s) with which the defendant is charged, in a court of law. The term prosecutor may include a private citizen who is authorized to perform this legal function by state law.

RTS – (Router Transport Service) This is the State of Florida’s statewide, multi-protocol, fully routed data communications service that comprises the majority of the State Intranet. The RTS consists of router hubs placed in strategic locations around the state and is designed to allow for flexible network growth.

SEARCH – (National Consortium for Justice Information and Statistics) Started in 1969, SEARCH is a nonprofit membership organization whose objective is to identify and help solve the information management problems of state and local justice agencies confronted with the need to exchange information with other local agencies, state agencies, agencies in other states, or with the federal government.

SID – (State Identification Number) A unique number assigned to persons by FDLE (based on fingerprint identification) that identifies them in the agency’s Computerized Criminal History (CCH) database and the FBI’s National Crime Information Center (NCIC) database.

Single Sign-On – A process that permits a user to enter one name and password in order to access multiple applications or systems.

Single-Query System – A system that allows the searching (querying) of multiple systems or databases by entering a single inquiry.

SOA – (Service Oriented Architecture) An application architecture in which all functions, or services, are defined using a description language and have invocable interfaces that are called to perform business processes. Because interfaces are platform-independent, a client from any device using any operating system in any language can use the service.

SSN – (Social Security Number) A nine (9) digit number issued by the US government to identify a person’s social security account.

SA – (State Attorney) An attorney who conducts criminal prosecutions on behalf of the state. Also see Prosecutor.

State Court System Entities and other Participants – shall be defined initially as the Office of State Courts Administrator, Public Defenders, State Attorneys, Clerks of Court and State agencies (Law Enforcement, Juvenile Justice, Corrections). As the scope of the Article V initiative expands, the definition will broaden to include local law enforcement agencies (Sheriffs), additional State agencies (Revenue, Secretary of State, Education) and private-sector attorneys (Florida Bar Association).

Stovepipe or Vertical – Computer systems that serve a specific function or support a specific organization without the advantages afforded by sharing information with other systems within the organization or outside the organization automatically. Examples would include accounting systems, jail management systems, etc.

Strong User Authentication – There are three types of information that a system can use to prove that users are who they say they are. Although the presence of all three is most desirable (and most demanding), the presence of at least two of the three allows for a reasonable level of confidence in someone's identity. When two out of the three are present, it is generally referred to as 'strong authentication.' In practice, a network can achieve various levels of 'strength' or 'weakness' and thus various levels of trust and reliability, all tailored to its own particular security needs.

- The first type of information is "something you have." Typically, this means that the user has a particular physical device that they alone were given and authorized to use that allows them access.
- The second is "something you know." Typically, this means that the user knows a secret, such as a particular password that only they were supposed to have been given and that they alone know.
- The third is "something you are." This means that the user possesses some human attribute, some biometric feature that can be scanned and digitally documented, such as a fingerprint or iris scan.

T-1 – A dedicated phone connection supporting data rates of 1.544Mbits per second. A T-1 line actually consists of 24 individual channels each of which supports 64Kbits per second. Each 64Kbit/second channel can be configured to carry voice or data traffic. Most telephone companies allow you to buy just some of these individual channels, known as fractional T-1 access.

Table of Charges – A printed document or computer database of charges that can be cited for a given crime or ordinance violation. The list normally contains an internal number/code that uniquely identifies the type of charge, the statute number(s) or ordinance number(s) violated and a narrative description of the violation. Use of such a table ensures consistency and accuracy of charge information being reported.

TCTC – (Trial Courts Technology Committee) Making recommendations to the Chief Justice, the Trial Courts Technology Committee is responsible for all court technology strategic planning and implementation including disaster planning and recovery; growth analysis and purchasing; network administration and security; telecommunications and infrastructure planning and installation; project management; budget forecasting and administration; and applications review, coordination and integration.

TRW – (Technology Review Workgroup) Created to provide analysis and recommendations regarding agency funding requests for information technology projects. The TRW also provides legislative oversight of strategic information technology projects that have been specifically identified in the General Appropriations Act. The TRW reports its findings and recommendations to the Legislative Budget Commission.

UPI – (Unique Personal Identifier) A unique identifier is any agreed upon collection of personal attributes (i.e., documents, biometrics, numbers, etc.) as is necessary to positively identify an individual from all other individuals. A UPI is necessary and useful in automated systems to avoid misidentifying an individual. Problems with positively identifying individuals based on personal attributes commonly used (for example, name, birth date, and sex) are that they can be forged, forgotten, or intentionally changed and are rarely captured in the same manner by each entity.

Victim – is defined as the individual or individuals who are alleged to have been harmed by the defendant in a specific case at law.

VLAN – (Virtual Local Area Network) Short for virtual LAN, a network of computers that behave as if they are connected to the same wire even though they may actually be physically located on different segments of a LAN. VLANs are configured through software rather than hardware, which make them extremely flexible. One of the biggest advantages of VLANs is that when a computer is physically moved to another location, it can stay on the same VLAN without any hardware reconfiguration.

WAN – (Wide Area Network) A computer network that spans a relatively large geographical area. Typically, a WAN consists of two or more Local Area Networks (LAN). Computers connected to a wide-area network are often connected through public networks, such as the telephone system. They can also be connected through leased lines (SUNCOM Dedicated Data Service) or satellites. The largest WAN in existence is the Internet.

Witness – is defined as the individual or individuals who have evidence to present in regards to the alleged crime, defendant or both, in a specific case at law.