

Standards



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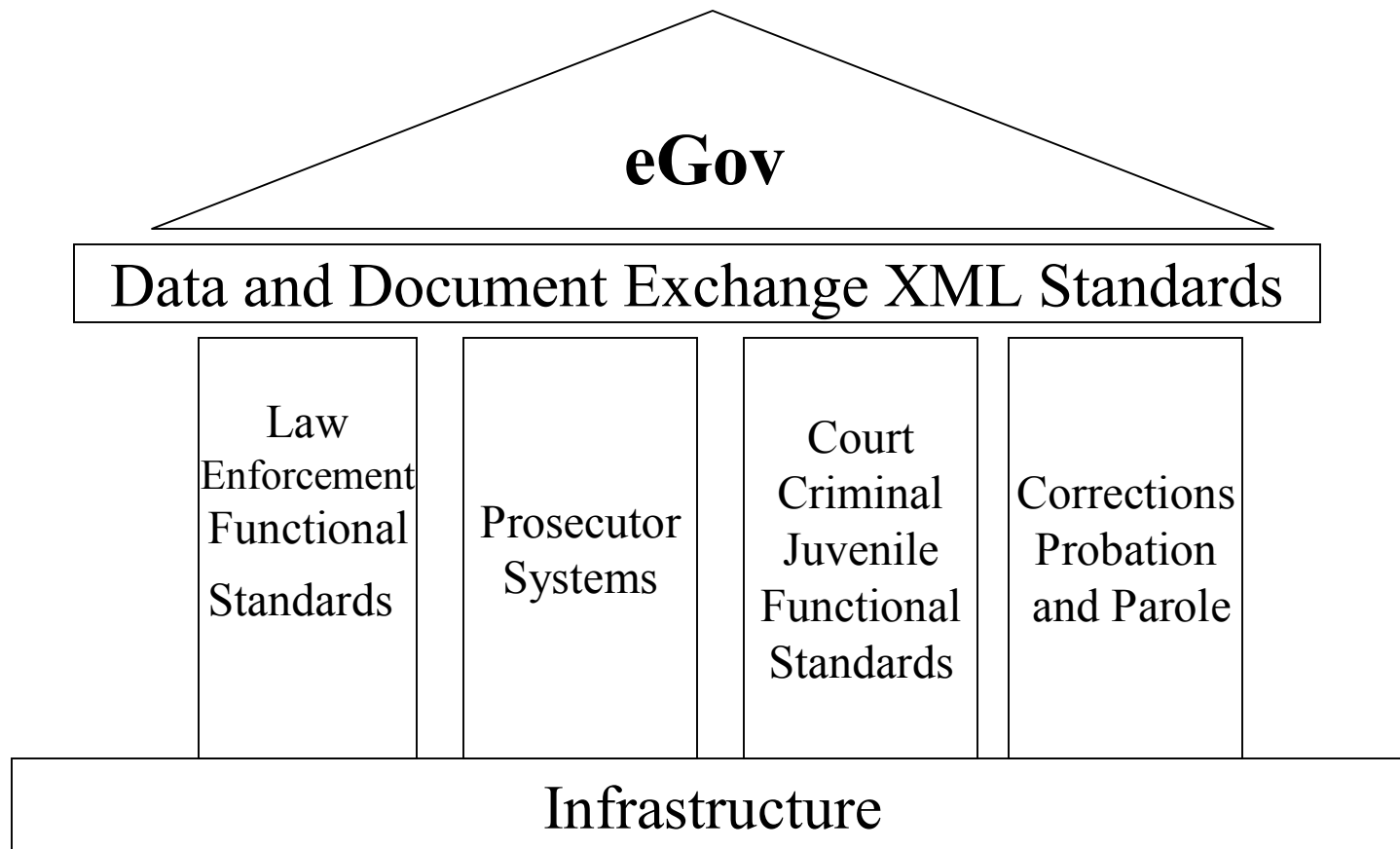


Current Standards

- ✦ Criminal Functional Standards
- ✦ Juvenile Functional Standards
- ✦ Domestic Functional Standards
- ✦ Civil Functional Standards
- ✦ E-Filing XML Standards v1.1
- ✦ XML schema v3.0

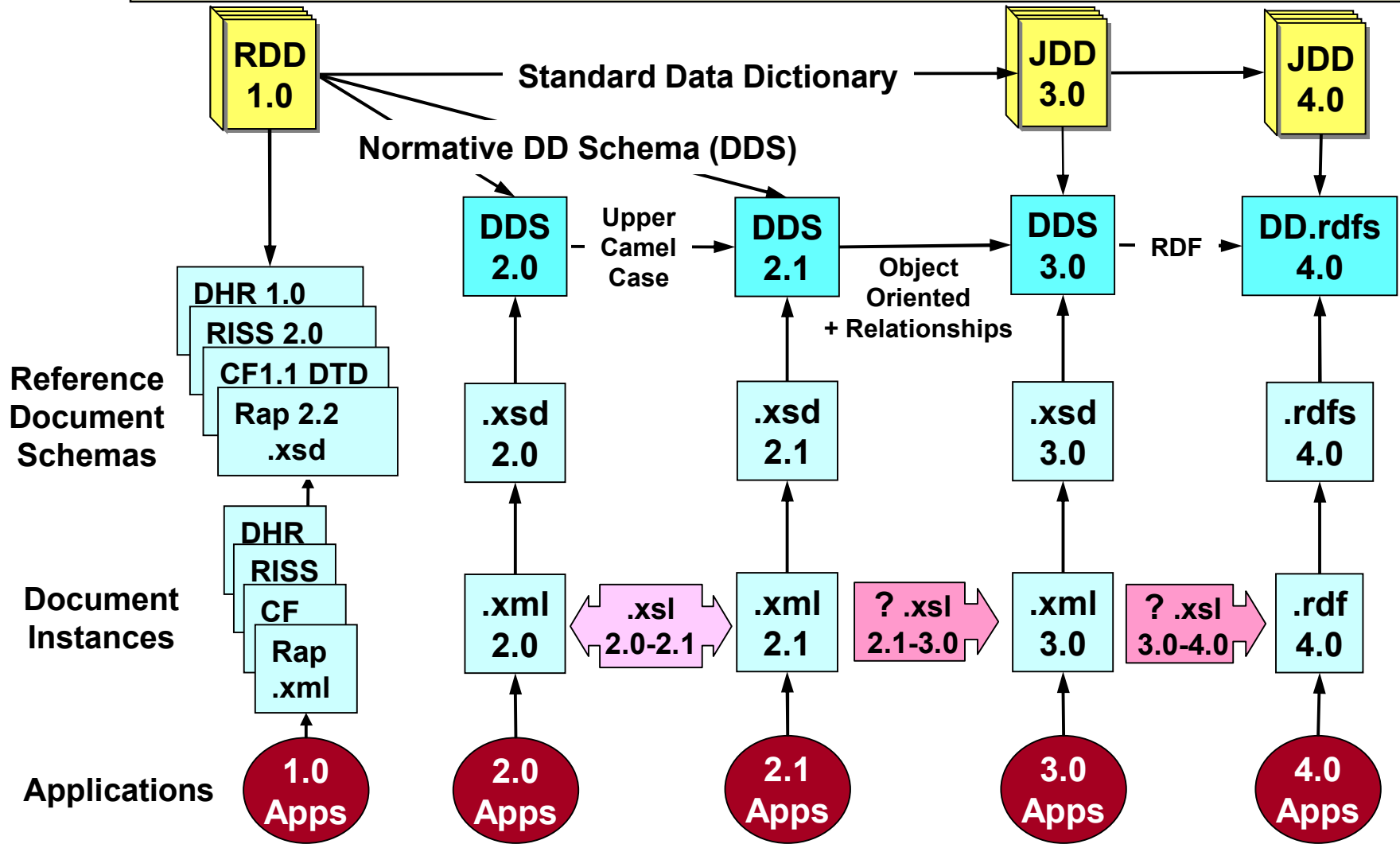


Defining eGov: The Information Interfaces





Justice XML Data Dictionary Schema Evolution





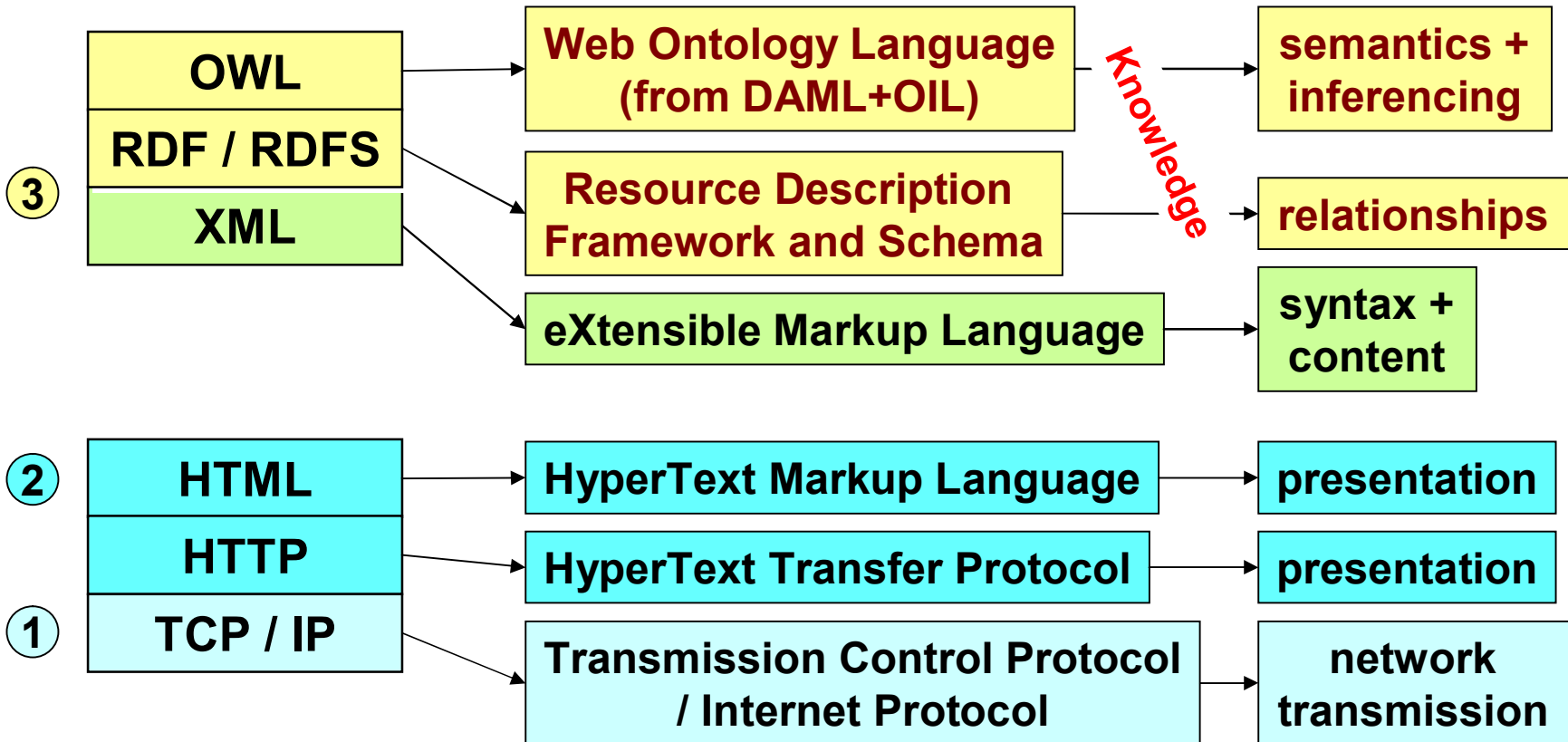
Semantic Web



Agent Smith ("The Matrix" ©1999 Warner Bros)

Intelligent Software Agents

decision + action





AT&T Connections Video
AT&Ts Vision of the Future





The “What” and “How” of Standards

- ❖ What – The requirements that should be available to a local jurisdiction if needed
- ❖ How – We do not tell a local Jurisdiction how to run their local operations



Current Standards

✦ Located on the NCSC website

✦ http://www.ncsconline.org/D_Tech/Standards/Standards.htm

✦ <http://it.ojp.gov/jxdd/prerelease/3.0.0.0/index.html>

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A map of the state of Ohio with red stars marking various cities. The stars are located at Sandusky, Brook Park, Parma, Warren, Mansfield, Canton, Steubenville, Newark, Zanesville, Columbus, Springfield, Dayton, Xenia, Lancaster, Norwood, Chillicothe, and Cincinnati. The map also shows neighboring states: Michigan, Indiana, Pennsylvania, West Virginia, Kentucky, and Virginia, as well as Lake Erie and Lake St. Clair.

Standards Development Initiative for the Ohio Courts

**Presentation: "Case Management
Standards: Update & Usage"**

**CTC8 Kansas City
October 29 & 30, 2003**



Ohio's Local Automation Boom

- ✦ In 1993, the Ohio Legislature approved changes to the Ohio Revised Code enabling all trial courts to collect up to \$13 in courts costs specifically earmarked for automation and technology spending locally.
- ✦ In 1993, 35% of Ohio courts began collecting this fee and automating the local courts using computers and case management software, selected by each local court and designed to meet their specific needs.
- ✦ By 1996 over 70% of Ohio courts were engaged in collecting fess and implementing technology locally.
- ✦ Today, 99% of all courts in Ohio have automated case management systems containing information pertinent to the work of judicial system partners. However, the systems cannot share information.



Foundational Achievements

In the past 13 years Ohio courts have made foundational investments locally, in technology and tools used to manage increasing case loads and information.

With over 99% of all courts in Ohio automated with computers & case management systems, we have achieved our initial technology goals. We need to continue to build upon the solid foundation that has been laid over the past decade.



We cannot look at our achievements without recognizing that the next logical step is to allow this foundation to further serve the courts and people of Ohio by enabling all of these systems to share information.

The original funding model put in place to assist us in reaching that goal has served us well, but as we move to the next level, we need to seek new ways to fund our second and third tier initiatives.



Lessons Learned

- ✦ Ohio courts developed and acquired their information technology systems independent of a common framework.
- No single, comprehensive, timely source for statewide court information (i.e., arrest, conviction, incarceration, probation, protection order, warrant, bail, sexual offender, and disposition) exists for use by federal, state, and local law enforcement; prosecutors; judges, or probation officers.
- A digital divide exists between and among public offices in Ohio and their constituencies. This divide creates inconsistency in available information technology systems and public services.
- Disparity in information technology systems design causes difficulty in gathering critical information from courts during emergencies, when developing new initiatives, seeking funding opportunities or fulfilling requests from judicial system partners.





Interoperability?

The ability of a system or a product to work with other systems or products without special effort on the part of the customer. Interoperability becomes a quality of paramount importance for information technology systems, as the demand for information sharing and greater efficiency becomes increasingly important.

Products achieve interoperability with other products using either or both of two approaches:

1. By adhering to published interface and technology standards.
2. By making use of a “broker” of services that can convert one product's interface into another product's interface “on the fly”.



- *searchWebServices.com, a TechTarget site for Web Services professionals.*



The establishment of minimum base-line technology standards in Ohio will:

Provide capability to access statewide court information for judges and criminal justice partners while retaining municipal, regional and state agency control over their local systems.

Minimizes the investment required in new information technologies by providing choices directed towards streamlining existing information technology systems to accommodate the use of future technologies.

Eliminates the “digital divide” by ensuring that those courts who do not have resources for permanent IT staff are not solely reliant on vendors for information, evaluation and support of local technology.

Cuts costs now and in the future by improving efficiency, improving information sharing, reducing staffing needs for paper processes, lowers delivery and postage costs, reduces office supply needs, reduces storage space needs, and increases efficiency to request for public record information.



Building the teams

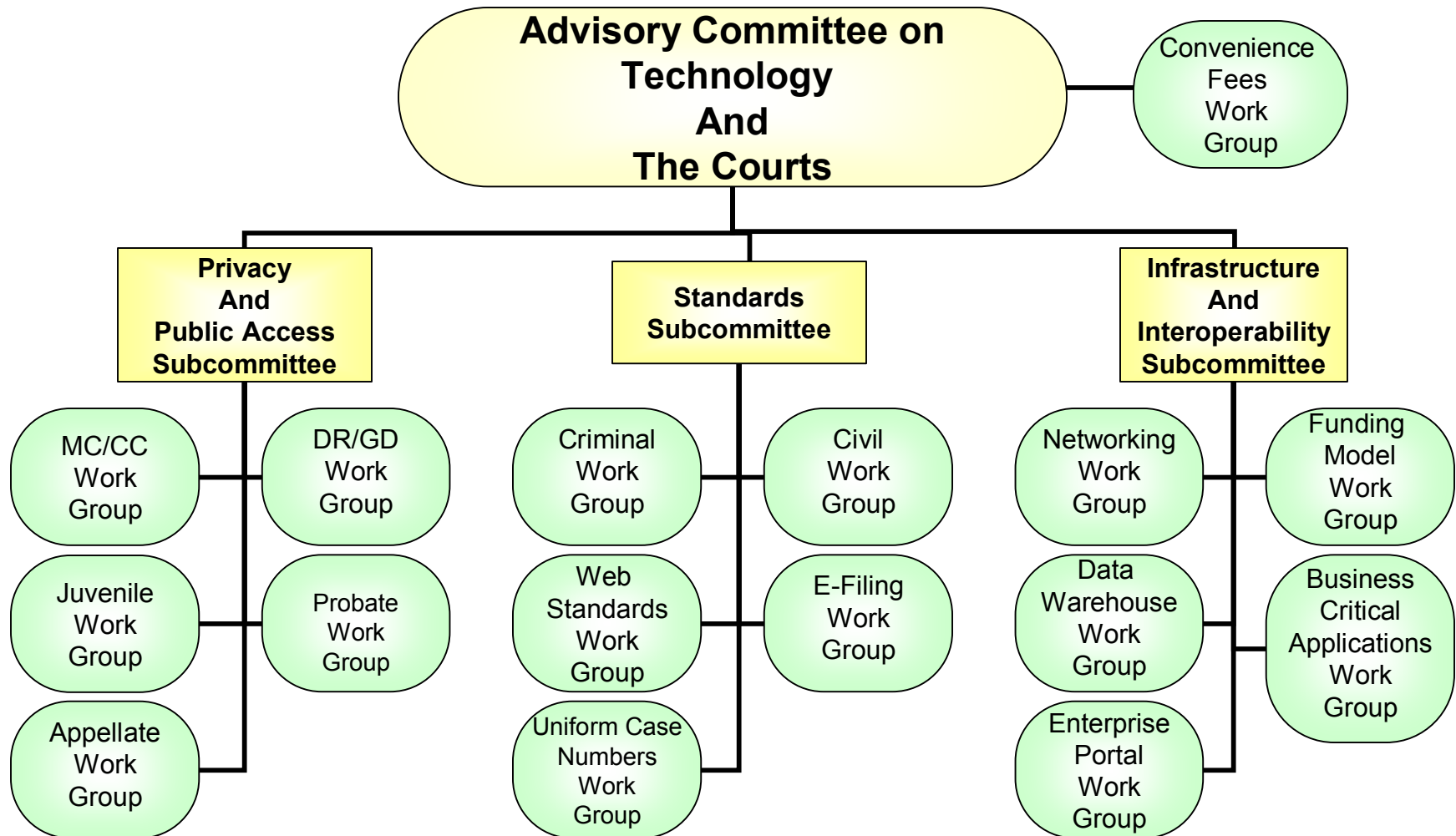
In Ohio, under the auspices of the Supreme Court of Ohio Advisory Committee on Technology and the Courts, we have implemented a grass-roots based model that brings together participating representatives from:

- **Ohio Judicial Organizations**
- **Court Professional Associations (Clerks & Court Administrators)**
- **The Ohio Bar**
- **Integrated Justice Organizations (law enforcement, probation, etc.)**
- **Local court staff**
- **IT professionals**
- **Public.**

Staff members of the Supreme Court of Ohio administratively support the committees needs, provide advice and resources on technical issues, assist with meeting facilitation, but do not vote as members of the team.



Advisory Committee on Technology and the Courts





Collaborative Governance Model

This model utilizes the expertise and representative perspective of existing professional organizations as well as taps into the wealth of expertise and experience at our own local courts.

Ensures that we stay focused on the principle that technology is a **tool** for the delivery of our core business: **Justice**. No technology, no matter how advanced or powerful can realize its potential or contribute to our goals unless it actually serves the needs of the courts.

Who is best able or most knowledgeable to define those requirements? Those who use the operational systems and information on a day-to-day basis

Provides the necessary leadership and controls to avoid the loss of local autonomy by creating a mechanism for managing spending and policy decisions.



Why does Collaborative Governance make sense for Ohio ?

This model utilizes the expertise and representative perspective of existing professional organizations as well as taps into the wealth of expertise and experience at our own local courts.

Ensures that control of Ohio court and judicial data remains under the control of the judicial branch key court stakeholders and is not subjugated to the needs and priorities of state, county or executive branch policies.

This model allows for and encourages collaborative efforts, regionally and statewide between courts, to meet shared goals and objectives related to the use and deployment of court technology.



Hon. Gary Byers of the Maumee Municipal Court

The Courts of Ohio stand upon a precipice overlooking a vast plane of technological innovations. Our next steps will find ways to incorporate these advances for the benefit of our various communities, or submerge courts below a tide of confusing digital alternatives. Inherent in the makeup of Courts is the fact that we must maintain records of our proceedings and determinations. The case management responsibilities of Courts are both data and labor intensive. Nearly every Court throughout the state has begun to utilize some form of computerized record keeping. To this point, advancement has been somewhat arbitrary with a plethora of software vendors and platforms being utilized.

It has finally come to the point where if we as Judges, administrators, and clerks, are going to realize the great potential of modernization, some coordination and cooperation in the establishment of minimum system standards will have to be utilized. The future holds the seamless exchange of Court records throughout the state, an efficient self implementing docketing system, and electronic filing of cases, to name a few.

The various Courts throughout Ohio's 88 Counties have a tradition of independence that has served judicial decision-making through the years. This same independent nature, however, has become a detriment when attempting to coordinate modernization efforts. Too many Judges and Clerks throughout this State believe it is necessary to re-invent the wheel with every incremental advance in technology.

These standards seek to set minimum requirements for Court computer systems so that individual courts do not have to re-think every minor issue incorporated in their case processing system. The goal of this process is not to micro-manage decision making in each Court, but rather ease the incorporation of technologies into our local judiciaries.

Countless hours have been spent in the crafting of these standards by numerous volunteers from across our court system. Although not every section will apply to every court, we hope you will agree that these standards will stand as a backdrop for a pragmatic case management system that effectively utilizes emerging technologies.



Standards Subcommittee

MISSION:

To establish standards to ensure full compatibility and interoperability of technology systems employed in Ohio courts.

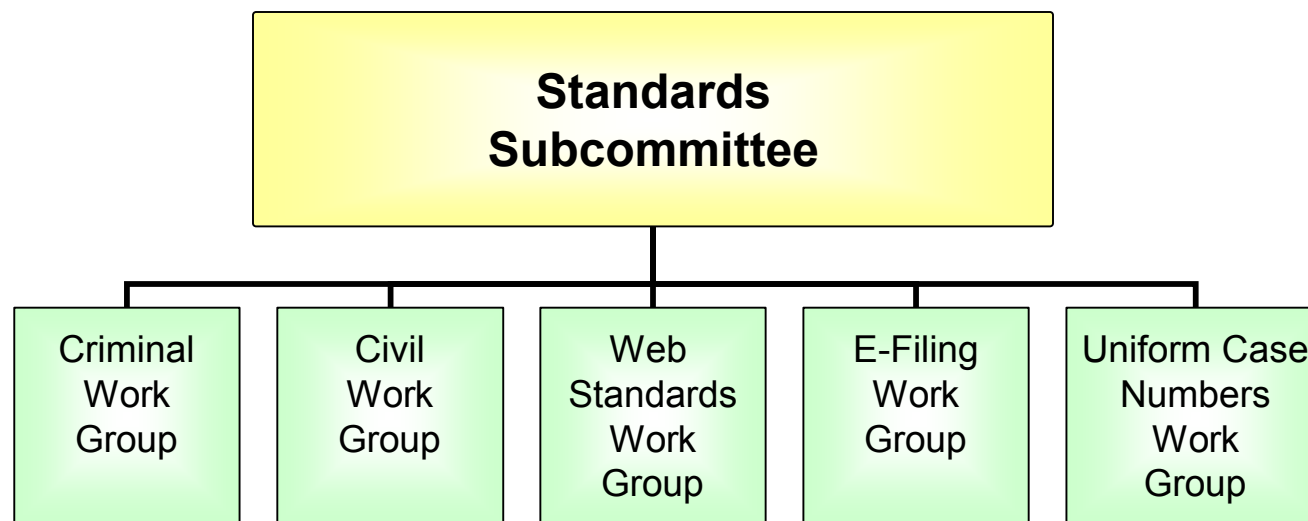
GOALS:

The standards subcommittee is established to develop minimum technology standards for technology in the courts. The subcommittee will:

- ✦ Commit to ongoing research, staying abreast of the ever-changing technology market.
- ✦ Review court technology deployments and development efforts, to determine that minimum standards are met.
- ✦ Serve to protect the public interest by ensuring minimum consistency in how basic court services operate.
- ✦ Serve to protect the court system's investment by ensuring that systems purchased are capable of a full range of minimum functions, with every court having a minimum of required capabilities.
- ✦ Provide guidance and coordinate efforts so that as new technologies are developed, all courts share in the development of best practices.
- ✦ Foster an interoperable technology environment where court information is more easily shared.



Standards Subcommittee & Working Group Organization



Standards Subcommittee, 13 members

E-Filing Work group, 12 members

Web Standards Work group, 17 members

Criminal Functional Standards/Uniform Case Numbering Work group, 22 members

Civil Functional Standards Work group, 10 members

Total of 74 Members; 4 from standards and approximately 70 additional primarily from the local courts.



Goals for Work groups

- **To set minimum standards for case management & processing systems so that individual courts do not have to re-think every nuance of their case management system.**
- **Make available emerging technologies to all courts of Ohio in a systematic fashion.**
- **Reduce time for requirements study and variances in requirement definition phases**
- **To build a document to aid the procurement and development of local systems**
- **To give parameters to Ohio court technology vendors for system development and upgrade specifically for Ohio courts**



How are we developing standards?

Step 1: Your First Meeting

- 1. Review Administrative & Operational Guidelines**
- 2. Define Work group Goals**
- 3. Develop Team Synergy**
- 4. Establish Ground Rules for Meetings**
- 5. Introduce the Base Document**
- 6. Let the Group Define Their Approach (but strongly encourage them to break things into bite-sized pieces)**
- 7. Assign Homework**



How are we developing standards?

Step 2: Meeting 2 and Beyond

- 1. The rubber meets the road in subsequent meetings.**
- 2. Standards base-line documents are reviewed line by line.**
- 3. Individual work group members present assigned parts and recommended wording/ edits/changes/ additions.**
- 4. Lively debate ensues.**
- 5. Review ground rules for meetings as necessary.**
- 6. Make all changes “on-the spot”.**
- 7. Audio recordings and archives of meetings are extremely helpful.**
- 8. Assign More Homework**



How are we developing standards?

Step 3: The First Draft

- 1. Once the Work group has completed the first draft recommendation for their assigned standard, the Workgroup lead presents the recommendation to the Standards Subcommittee for review.**
- 2. DO NOT disband the Work group!**
- 3. Lively debate ensues.**
- 4. Subcommittee can : accept the recommendation as submitted, accept with editorial changes, accept with substantive changes, or reject and send it back to the Work group with substantive comments for overhaul.**
- 5. Once the Standards Subcommittee accepts a draft recommendation...proceed to Step 4.**
- 6. This is a good time to boost administrative staff morale.**



How are we developing standards?

Step 4: Out for Comment

1. **When the Standards Subcommittee deems the recommendation package complete, they circulate an appropriately line-numbered and formatted document via USPS mail to the following groups for comment:**

All Administrative Judges in Ohio

All Court Administrators in Ohio

All Clerks of Court in Ohio (both elected and appointed)

All Association Presidents in Ohio

**All members of the Advisory Committee on Technology & the Courts its
Subcommittees and Work groups.**

2. **Additionally, the draft is posted on the Supreme Court website along with instructions for comment procedures, as well as, distributed via e-mail, to the Technology Policy & Planning “Tech Net” distribution list.**
3. **Comments are usually accepted for 60 days**



Step 5: Fall-out

- 1. At the conclusion of the comment period, the Standards Subcommittee reviews all comments and determines if the draft recommendation should be edited, altered or notated.**
- 2. Lively debate ensues.**
- 3. Based on the questions asked and comments suggested, a revised draft is written and is often accompanied by an “FAQ document” or “commentary notes” from the Standards Subcommittee.**
- 4. All comments submitted are acknowledged by letter or telephone as appropriate.**
- 5. Once the Standards Subcommittee believes the recommendation package (recommendation, cover letter, any model documents, justification or needs assessment, etc. ...) is complete, it is presented by the Subcommittee Chair, to the Supreme Court of Ohio Advisory Committee on Technology and the Courts.**



Step 6: The Last Mile

- 1. The completed draft recommendation package is forwarded to the Advisory Committee on Technology and the Courts and presented formally as an agenda item, at a regularly scheduled meeting.**
- 2. Lively debate ensues.**
- 3. The Advisory Committee on Technology and the Courts decides if the recommendation is appropriate, meets the overall needs of the Courts in Ohio and meets the mission and goals of the ACTAC.**
- 4. A letter of recommendation for action, along with all supporting documents is forwarded to the Supreme Court based upon the decision of the ACTAC.**



Standards Project: Next Steps

- ✦ Release of the first drafts of the Criminal and Civil Functional Case Management Standards for public comment during first quarter of 2004.
- ✦ Review comments and make changes.
- ✦ Continue work on electronic filing and web standards. First drafts are anticipated for public review in 2004.



Tricks of the Trade

Shameless recruitment

When possible entice with food

Constant communications

Remember to laugh



Please Visit the Supreme Court Web Site
at: www.sconet.state.oh.us



The Supreme Court of Ohio

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