



Georgia Courts Automation Commission

Strategic Plan for Information Technology

For

Probate Courts

January 23-25, 2006



Contents

➤ Executive Summary	3
➤ Approach Overview	6
➤ Probate Court Interactions	7
➤ Internal/External Influencing Factors	8
➤ Strategic Objectives of IT	10
➤ IT Products and Services – Current and Future	11
➤ Prioritization Considerations	14
➤ Strategy Articulation Map Development	15
➤ Strategy Articulation Map	35
➤ Next Steps	37
➤ Future Topics for Discussion and Consideration	41
➤ Appendices	42



Executive Summary

The GCAC began the Strategic Planning process by developing a high-level plan focused on Information Technology for all levels of the courts. In this session, input from a broad group of the Probate Court's Leadership team met to:

- Confirm the contents of the Data Definition summary report;
- Finalize the Probate Court's customer interactions;
- Identify the services and programs currently supported by the Probate Courts to support IT needs;
- Gain an understanding of the Probate Court's IT priorities of current and future information and service needs;
- Establish a strategic map for the Probate IT organization; and
- Align and prioritize the services and programs with the strategic map.

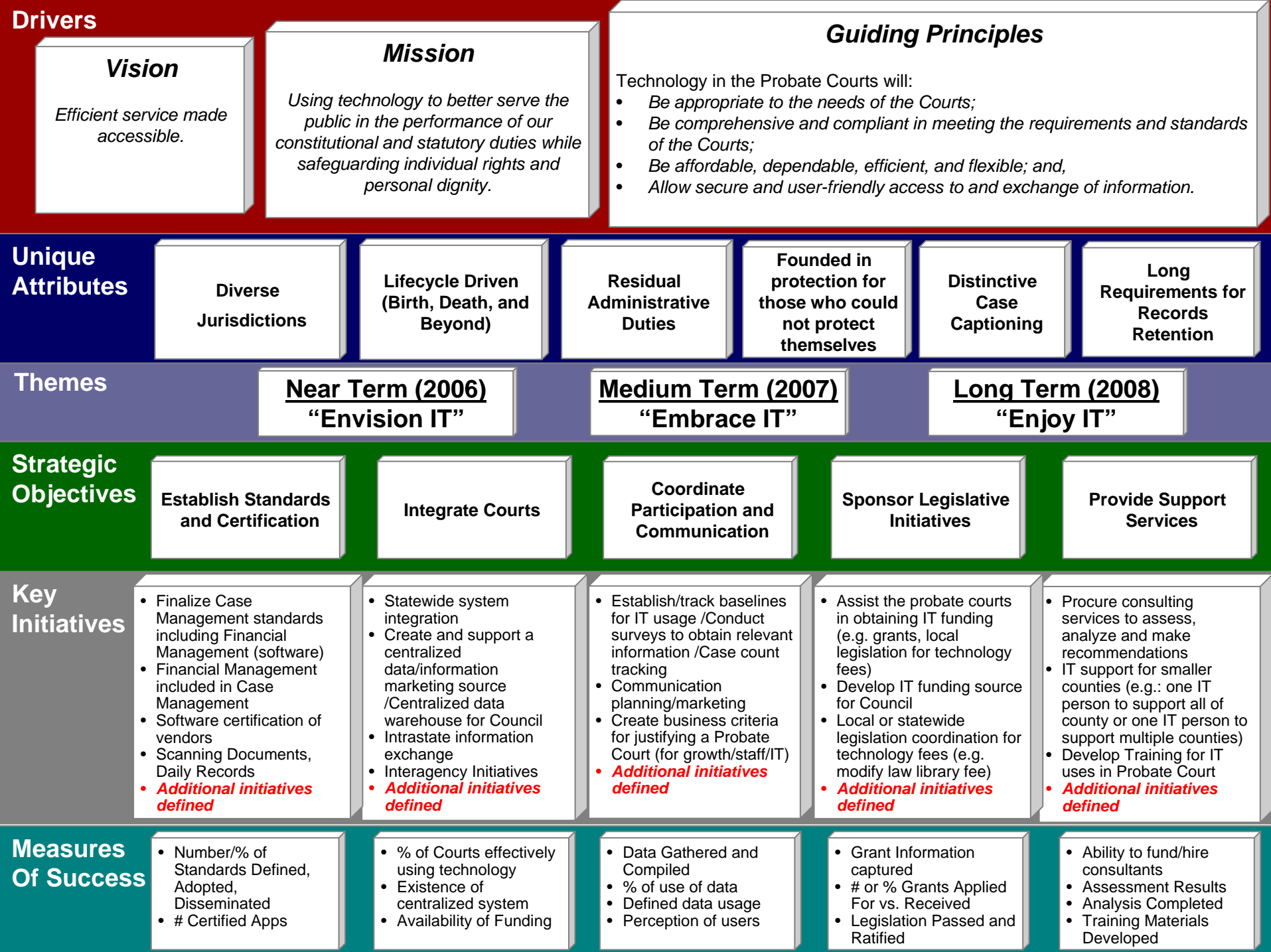
With the completion of this effort along with the Data Requirements and Definitions effort, a Strategic Vision and Map for 2006 through 2008 was developed that will enable the Probate Court to begin to prioritize and deliver the IT services that will best support the court across the judicial system of Georgia.

Additionally, an action plan has been created to outline the next steps required for the Courts to begin to implement this vision across the Judiciary.



Executive Summary

Probate Courts IT Strategy Articulation Map





Approach Overview

GCAC began the Strategic Planning process by developing a high-level plan focused on Information Technology that will be used to set the IT direction for the Probate Courts. Additionally, the Probate Courts IT Strategic Plan will be used as input to a Judiciary-wide IT strategy that contains similar input from the other levels of courts in Georgia.

Using facilitators to guide the information gathering process, a subset of the Council of Probate Court Judge's Leadership met in a four day off-site session to focus on:

- Confirming the contents of the Data Definition Summary Report;
 - Finalizing the Probate Court's customer interactions;
 - Identifying the services and programs currently supported by the Probate Courts to support IT needs;
 - Gaining an understanding of the Probate Court's IT priorities of current and future information and service needs;
 - Establishing a strategic map for the Probate IT organization; and
 - Aligning and prioritizing the services and programs with the strategic map.
- **Note:** See Appendix A for attendees list.

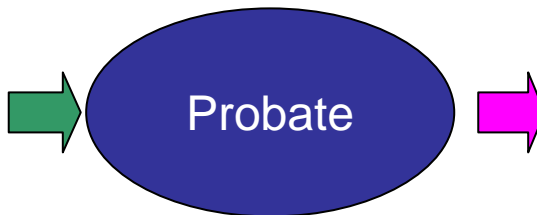


Probate Court Interactions

Probate Courts Interaction Diagram

Suppliers (In)

- | | |
|--------------------------------|------------------------|
| 1. Sheriff | 31. County Commiss. |
| 2. Police Department | 32. County Departments |
| 3. City Police | 33. Probate |
| 4. State Patrol | 34. AOC |
| 5. DNR | 35. Court of Appeals |
| 6. DFCS/SAAG | 36. GA Supreme Court |
| 7. Schools (City & County) | 37. Juv. Judge |
| 8. Dept. of Probate Justice | 38. Juv. Admin. |
| 9. Citizens | 39. Juv. Clerk |
| 10. Parents | 40. Intake Off. |
| 11. n/a | |
| 12. Citizen Panels | |
| 13. Service Prov. (Drug, MH) | |
| 14. Prosecutors | |
| 15. Indigent Defense/Pub. Def. | |
| 16. Guardian Ad Litem/CASA | |
| 17. Superior | |
| 18. Probate | |
| 19. Other Probate Courts | |
| 20. Adult Jails | |
| 21. YDC | |
| 22. Interstate Compact | |
| 23. Legislature | |
| 24. Grant Providers/CYCC | |
| 25. CJCJ | |
| 26. Software Vendors | |
| 27. Labs | |
| 28. Attorneys | |
| 29. GCIC | |
| 30. NCIC | |



- Petitions
- Orders
- Complaints
- Warrants
- Summons/Subpoenas
- Notices
- Probation Notes/Reports
- Assessments
- Calendars
- Budgets
- Grant Applications
- Correspondence
- HR Paperwork
- DDS Suspensions
- In-Court Suspensions

Reports

- Legal History
- Caseload/Workload
- Case Count
- DDS
- Statistical for Non-Profit/Outside Requestors
- Grant
- Financial Reports
 - Revenue & Expense Reporting
 - Fine & Fee Collection/Distribution

Customers (Out)

- | | |
|----------------------------------|--|
| 1. Sheriff | 31. Press |
| 2. Police Department | 32. GSCCCA |
| 3. City Police | 33. Sheriffs Retirement Fund |
| 4. DDS | 34. Law Library |
| 5. DFCS/SAAG | 35. POABF |
| 6. DHR | 36. General Fund (County) |
| 7. Schools (City & County) | 37. Child Abuse Protocol/Child Fatality Review |
| 8. Dept. of Probate Justice | 38. AOC |
| 9. Citizens | 39. Military Recruiters |
| 10. Parents | 40. Federal Courts (Probation) |
| 11. n/a | 41. Job Corps |
| 12. Citizen Panels | 42. Court of Appeals |
| 13. Service Providers (Drug, MH) | 43. GA Supreme Court |
| 14. Prosecutors | 44. Juv. Judge |
| 15. Indigent Defense/Pub. Def. | 45. Juv. Admin |
| 16. Guardian Ad Litem/CASA | 46. Juv. Clerk |
| 17. Superior | 47. Intake Off. |
| 18. Probate | 48. Foster Parents |
| 19. Other Probate Courts | |
| 20. Adult Jails | |
| 21. YDC | |
| 22. Interstate Compact | |
| 23. CYCC/Grant Providers | |
| 24. CJCJ | |
| 25. Labs | |
| 26. Attorneys | |
| 27. GCIC | |
| 28. County Commissioners | |
| 29. County Departments | |
| 30. Probate | |



Internal/External Influencing Factors

Next, the group discussed the factors, both internal and external to the Probate Courts, that will have an influence on the prioritization and implementation of the initiatives in its IT Strategic Plan. The following influencers were identified:

Governor:

- Funding
- Policies impacting the Judiciary.

Legislature/Legislation (including Superior Court Clerks' Authority)

- Funding;
- Legislation for statewide funding; and
- Clerks' Authority supporting effective legislation.

County Commissioners

- Funding;
- Perception of judiciary (policy); and
- Prioritization.

Probate Judges

- Commitment levels vary which impacts the whole.

Probate Staff

- Commitment levels vary which impacts the whole.

Customers

- Customer needs – Probate Courts deal more directly with citizens than any other court;
- Requirements.



Internal/External Influencing Factors (con't)

Federal Government

- Policy;
- Indirectly – Funding; and
- Perception of the Judiciary.

Vendors

- Ability to meet functional and technical needs (e.g. requirements, standards, integration, etc.).

Supreme Court (JTCC)

- Dependent on the establishment of this group

Funding Availability

- Taxes; and
- Available local and state funds.

Other Courts

- Often “Dictate” software decisions; and
- Comparison of service (Perception of Probate Courts).



Strategic Objectives of IT

Further discussion yielded the IT products and services of interest to the court and its customers which were divided into two main categories – *Current and Future* needs. Within each of these categories, the products and services were then further subdivided into specific areas of interest that aligned to what would become the Probate Courts Strategic Objectives to:

- Establish Standards and Certification
- Integrate Courts
- Coordinate Participation and Communication
- Sponsor Legislative Initiatives
- Provide Support Services



Products and Services – Current and Future

Current Products and Services consist of:

- Listserv
- Email
- Fines and Fees Accounting
- Imaging
- Optical Character Recognition (OCR)
- Word Processing
- Court Management (Case Management) (e.g.: Sustain, Criminal Justice Technology, Tyler Technology -Odyssey, TIPS, CourtWare, Smith Data Processing, IKON, Harris, Mainstreet, PCIS, ACS)
- Calendaring
- Court Recording
- Outsourcing of records creation (before scanning – public records books)
- Georgia Online (GO) Network
- Finance Software (GEMS) (Payroll, Budget, Accounting)
- Westlaw/Lexis Nexis
- Spreadsheets
- Database software
- People Finding service (Accurint)
- Other court's records (e.g.: Harris Software)
- Internet Research
- Address Checking



Products and Services – Current and Future

Future Products and Services that would assist the Court are:

- Transfer data between different applications/systems (e.g. Fully integrated systems – statewide)
- Central Server
- Standards
- Web-based Search Capabilities (e.g. for Probate data, tracking genealogy, etc.)
- Web Transactions (e.g. Electronic payments)
- Automated Upload to Department of Driver Services and Social Security Administration for Marriage Licenses and Name Changes
- Secured Electronic Data Transmission
- eFiling (Into and Out of Probate)
- Electronic Driver License Re-instatement
- Scanning for Historical/Archiving (State will support TIF4 format and PDF only)
- Instant Search Services (e.g. Background Checks for Firearms, Criminal Records Check, Driver's History, Guardians)
- Training for Staff on Technology
- Computer Based Training for Customers (e.g. Court Specific Functions, support for customers not proficient in English)
- Pictures/Photos for Each Case
- Access to Booking Photos
- Automatic Production of Required Reporting and
- Enhanced Reporting for Statistics and Graphs (e.g. Data Warehouse and Data Segregation functions)
- Teleworking/Remote Access



Products and Services – Current and Future (con't)

Future Products and Services that would assist the Court are:

- Virtual Private Network (VPN)
- “Sidebar-like” Functions for Probate Judges
- Digital Voice Recording in the Courtroom (Integrated into Case Management application/system)
- Digital Tickets – Character Recognition
- Kiosks, Public Access Terminals in the Courthouse (i.e. for citizens to complete forms, etc.)
- Digital Hearings (e.g. Incapacitated Hearings)



Prioritization Considerations

In order to prioritize the products and services identified within the Probate Courts within each Objective group, the participants first had to agree on the key drivers behind the priorities. The following criteria was established and adopted by the group:

- 1. Meets Guiding Principles**
- 2. Do-able through the Council**
- 3. Internally “market-able” (e.g. traction/momentum for the initiative can be achieved)**
- 4. Funding is available**
- 5. Personnel resources are available to implement**
- 6. Most widely demanded by Customers**
- 7. Supportable from the commitment of personnel resources**
- 8. Judiciary-wide applicability**



IT Strategy Map Development

Once a common understanding of high-level priorities and needs was established amongst the group, the focus shifted to developing a the plan or “roadmap” for IT. The development of each component of the map incorporated feedback from the entire group.

The activities included in developing the components of the IT Strategy Articulation Map included defining a:

- **Mission Statement** – Why are we here?
- **Vision** – What do we aspire to?
- **Guiding Principles** - How will we operate and what rules guidelines will we use?
- **Unique Attributes** – Points to remember that guide our work.
- **Themes** – Catch phrase/slogans to generate support.
- **Strategic Objectives** – Groupings of what we want to do.
- **Key Initiatives** – Projects or major activities to be done.
- **Measures of Success** – How do we measure the success of our objectives?

The following slides contain the results of the group discussion in each of the above areas. These points were individually agreed upon by the group in order to confirm that consensus among the group was achieved.



Probate Court IT Mission

IT Mission

Using technology to better serve the public in the performance of our constitutional and statutory duties while safeguarding individual rights and personal dignity.



Probate Court IT Vision

IT Vision

Efficient service made accessible.



Probate Court IT Guiding Principles

IT Guiding Principles

Technology in the Probate Courts will:

- Be appropriate to the needs of the Courts;
- Be comprehensive and compliant in meeting the requirements and standards of the Courts;
- Be affordable, dependable, efficient, and flexible; and,
- Allow secure and user-friendly access to and exchange of information.



Unique Attributes of the Probate Courts

Unique Attributes

- Diverse Jurisdictions
- Lifecycle Driven (Birth, Death, and Beyond)
- Residual Administrative Duties
- Founded in protection for those who could not protect themselves
- Distinctive Case Captioning
- Long Requirements for Records Retention



High Level Milestones

Envision IT

Near Term:

- Finalize Case Management standards including Financial Management (software)
- Complete Certification of Vendors Software
- Encourage all Probate Courts to adopt and implement certified Case Management technology
- Assist the Probate Courts in obtaining IT funding (e.g.: grants, local legislation for technology fees)
- Coordinate communication and planning of cross-agency information sharing
- Develop IT Business Cases for Pilot Programs
- Initiate communication planning and marketing efforts
- Establish/Track baselines for current IT usage in the Probate Courts
- Conduct surveys to obtain relevant information / Case Count tracking
- Develop and conduct IT training for new Judges



High Level Milestones

Embrace IT

Midrange Term:

- Financial Management functionality included in Case Management (getting the software)
- Develop Training for IT uses in Probate Court
- Incorporate IT basics training/skills screening into hiring process
- Create Business Criteria for justifying a Probate Court (i.e. to address growth, additional staff, IT initiatives and IT support)
- Develop IT funding source(s) for the Council
- Sponsor local or statewide legislation coordination for technology fees (e.g. modify Law Library Fee)



High Level Milestones

Enjoy IT

Long Term:

- Lift out-of-state suspensions electronically
- Apply technology in archiving historical records
- Enable scanning of documents, daily records, etc.
- Embrace and support intrastate information exchange
- Provide Internet availability of records
- Implement the ability to submit reports online to agencies (Note: may require legislation)
- Create avenues for data transmissions with arresting agencies to reduce data entry points
- Implement eFiling for acceptance of forms (e.g. Self-service data entry)
- Implement statewide system integration
- Transfer funds electronically without having to manually create and issues all the checks
- Create and support a centralized data/information marketing source
- Shed clerical/non-judicial responsibility
- Provide electronic forms (receive and send) (e.g. Marriage License name changes should also go to Driver's License and SSA)
- Participate in interagency IT initiative implementation and governance
- Procure consulting services to assess, analyze and make recommendations regarding IT to share with County Commissions
- Provide IT support for smaller counties (e.g. one IT person to support all of county or one IT person to support multiple counties for the Probate Court)
- Establish software licensing pool for small courts
- Create centralized data warehouse for the Council
- Allow remote access/teleworking
- Implement public access/kiosks/terminals



Key IT Initiatives for Probate Courts

Next, using the previously defined prioritization process, the inventory of IT initiatives that the group thought was needed over the next 2-3 years was subdivided to align with specific Strategic Objectives and then prioritized within each area.



Prioritized Key Initiatives – Establish Standards and Certification

High:

- Finalize Case Management Standards including Financial Management (software)
- Financial Management functionality included in Case Management (getting the software)
- Complete Certification of Vendors software
- Enable scanning of documents, daily records, etc.
- Apply technology in archiving historical records

Low

- Implement eFiling for the acceptance of forms (e.g. Self-service data entry)



Prioritized Key Initiatives – Integrate Courts

High:

- Implement statewide system integration
- Create and support a centralized data/information marketing source (i.e. Centralized data warehouse for Council)
- Intrastate information exchange

Medium:

- Implementation and governance of IT interagency initiatives
- Data transmissions with arresting agencies to reduce data entry points
- Coordinate communication and planning of cross-agency information sharing
- Ability to submit reports online to agencies (Note: may require legislation)
- Transfer funds electronically without having to manually create and issue all the checks

Low:

- Provide electronic forms (receive and send) (e.g. Marriage License name changes should also go to Driver's License and SSA)
- Implement public access/kiosks/terminals
- Provide Internet availability of records
- Allow remote access/teleworking



Prioritized Key Initiatives – Coordinate Participation and Communication

High:

- Establish/track baselines for current IT usage in Probate Courts
- Conduct surveys to obtain relevant information / Case count tracking
- Initiate communication planning and marketing efforts
- Create Business Criteria for justifying a Probate Court (i.e. to address growth, additional staff, IT initiatives and IT support)

Low:

- Establish software licensing pool for small courts
- Develop IT Business Cases for Pilot Programs



Prioritized Key Initiatives – Sponsor Legislative Initiatives

High:

- Assist the Probate Courts in obtaining IT funding (e.g. grants, local legislation for technology fees)
- Develop IT funding source(s) for Council
- Sponsor local or statewide legislation coordination for technology fees (e.g.: modify Law Library Fee)

Low:

- Lift out-of-state suspensions electronically
- Shed clerical/non-judicial responsibility



Prioritized Key Initiatives – Provide Support Services

High:

- Procure consulting services to assess, analyze and make recommendations regarding IT to share with County Commissions
- Provide IT support for smaller counties (e.g. one IT person to support all of county or one IT person to support multiple counties for the probate court)
- Develop training for IT uses in Probate Court
- Develop and conduct IT training for new Judges
- Incorporate IT basics training/skills screening into hiring process



Defining Success

Establish Standards and Certification

- Number/percentage of standards defined (assumes coordination at Judiciary level to define an inventory of required standards)
- Number/percentage of standards disseminated to the Probate Courts
- Number/percentage of standards adopted by the Probate Courts
- Number of certified applications available for use by the Probate Courts
- Percentage of certified applications in use by the Probate Courts

Integrate Courts

- Percentage of Probate Courts effectively using technology (e.g. implementing key initiatives)
- Percentage of courts integrated (definition of “integrated” is required)
- Percentage of external stakeholders receptive/consenting to exchange
- Percentage of agencies buying-in (defined from Interaction Diagram listing)
- Existence of centralized system (Completions of Requirements Definition, Design, Implementation)
- Capacity to do online forms (Legislation passed, Participants, Ability, % transmitted, etc.)
- Funds made available



Defining Success (con't)

Coordinate Participation and Communication

- Data gathered
- Data compiled
- Change in perception
- Defined usage
- Percentage of use of data
- Establishment of feedback of results (funding received)
- New requests for information

Sponsor Legislative Initiatives

- Number of legislation passed and ratified (Drafted, Passed, Funding received)
- Grant information captured and communicated
- Number/percentage of grants applied for
- Number/percentage of grants approved and funding received



Defining Success (con't)

Provide Support Services

- Ability to fund and hire consultants
- Assessments conducted
- Analysis completed
- Training materials developed and communicated/available
- Percentage of trained users (from total population of Probate Court judges and staff)
- # new Judges/staff attending/taking training courses
- Skill levels of judges and staff measured



Measures of Success (Targets)

Measure	Near Term	Medium Term	Long Term
Establish Standards and Certification			
- Developed and Defined	<ul style="list-style-type: none"> • #/% of standards defined 		
- Communicated, Adopted and Certified		<ul style="list-style-type: none"> • #/% of standards disseminated to the Probate Courts • #/% of standards adopted by the Probate Courts 	<ul style="list-style-type: none"> • # of certified applications available for use by the Probate Courts • % of certified applications in use by the Probate Courts
Integrate Courts			
- Usage/Compliance	<ul style="list-style-type: none"> • % of Probate Courts effectively using technology • % of external stakeholders receptive/consenting to exchange 	<ul style="list-style-type: none"> • % increase in adoption and usage • % increase in receptive stakeholders 	<ul style="list-style-type: none"> • % increase in adoption and usage • % increase in receptive stakeholders



Measures of Success (Targets)

Measure	Near Term	Medium Term	Long Term
Integrate Courts			
- Integrated Systems	<ul style="list-style-type: none"> • % of courts integrated 	<ul style="list-style-type: none"> • % increase integrated courts • % of agencies buying-in 	<ul style="list-style-type: none"> • % increase in integrated courts • % increase of agencies buying-in
- Capabilities and Funding	<ul style="list-style-type: none"> • Funds made available 	<ul style="list-style-type: none"> • Capacity to do online forms 	<ul style="list-style-type: none"> • Existence of centralized system
Coordinate Participation and Communication			
- Information Gathering	<ul style="list-style-type: none"> • Data gathered • Data compiled • Defined usage 		
- Change in Perception of IT	<ul style="list-style-type: none"> • Defined usage 	<ul style="list-style-type: none"> • % increase of use of data • Establishment of feedback of results • New requests for information 	<ul style="list-style-type: none"> • % increase of use of data • Expansion of requests for additional new services and information



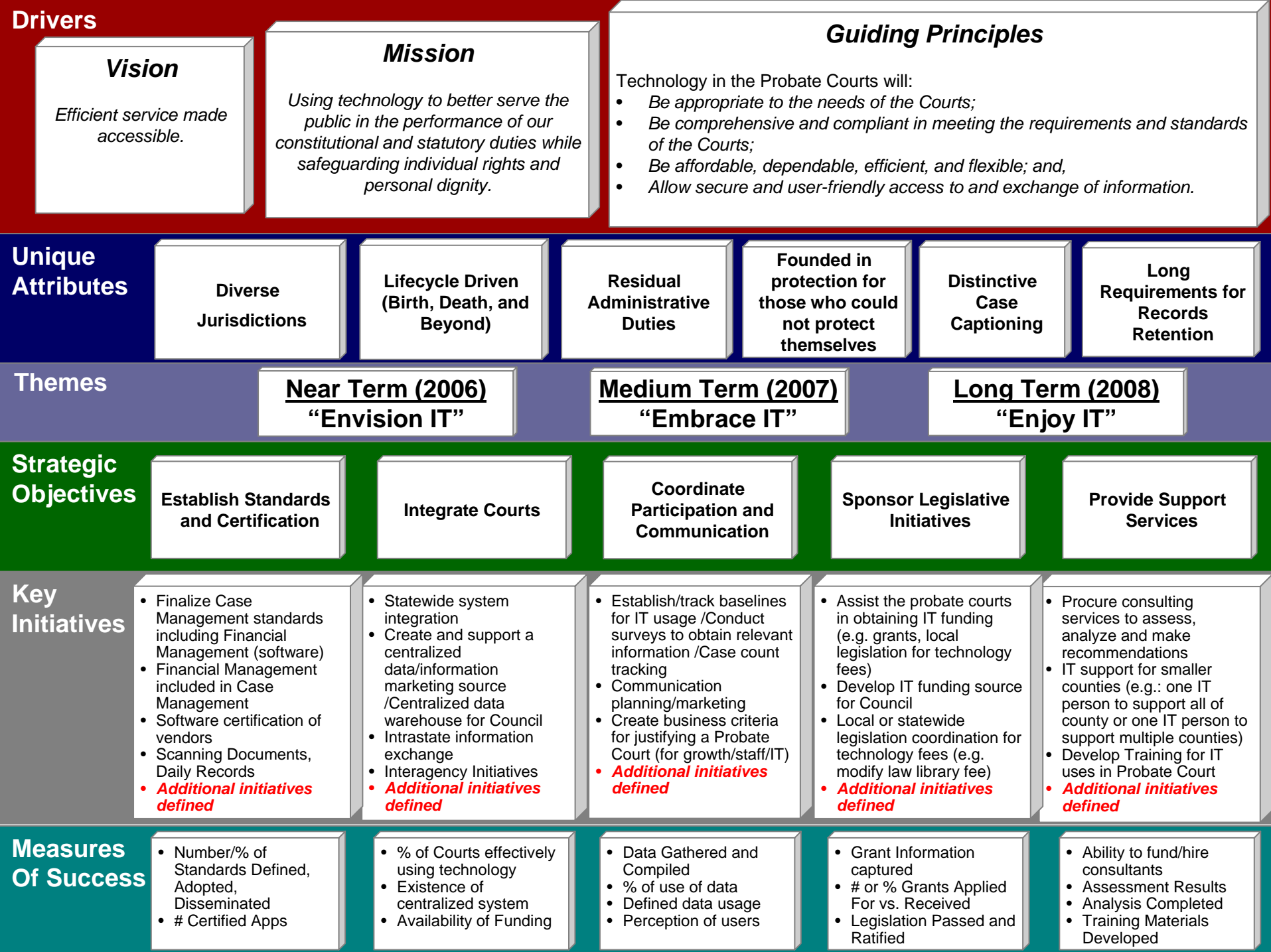
Measures of Success (Targets)

Measure	Near Term	Medium Term	Long Term
Sponsor Legislative Initiatives			
- Legislation for Funding	<ul style="list-style-type: none"> • # of bills/legislation submitted • % of bills/ legislation passed • % of bills/ legislation ratified • Funding received 	<ul style="list-style-type: none"> • % increases in passed and ratified • Funding available 	<ul style="list-style-type: none"> • % increases in passed and ratified • Funding available
- Funding through Grants	<ul style="list-style-type: none"> • Grants identified • Grant information captured and communicated 	<ul style="list-style-type: none"> • # of Grants applied for • % of Grants approved 	<ul style="list-style-type: none"> • # of Grants applied for • % of Grants approved
Provide Support Services			
- Analysis	<ul style="list-style-type: none"> • Funds available to hire consultants • Assessment and analysis completed 		
- Training	<ul style="list-style-type: none"> • Training materials developed • Baseline measure of Probate Court users IT skill levels 	<ul style="list-style-type: none"> • Training materials communicated and available • % increase of trained Probate Court users • # new Judges/staff trained 	<ul style="list-style-type: none"> • % increase of trained Probate Court users • Increase in demand for existing or new training



Probate Court IT Strategy Articulation Map

Now that each of the components of the IT Strategy Map have been developed and agreed upon, the map outlining the IT strategy for the Probate Courts for the next 2-3 years was developed and is providing on the following page.





Next Steps

By completing this first step in defining a high-level IT Strategic Plan, the Probate Courts are positioned to begin considering and implementing these next steps:

Future Use of This Plan:

- Incorporate into Judiciary-wide IT Strategic Plan
- Align with Probate Courts Business Strategic Plan
- Serves as a foundation for IT initiatives for the Probate Court
- Report to executive committee (week of January 30, 2006)
- Communication tool
- Training tool

Approval of This Plan:

- Probate Technology Committee (represented during the creation of this Plan)
- Probate Executive Committee
- Probate Court Council

Stakeholder Group:

- **Owner:** Probate Court Council
- **Internal:** Committees, Individual Probate Courts
- **External:** Governor, Legislature, County Commissioners, Citizens, Supreme Court, Judicial Council, JTCC, Department of Justice, NITHSA (Nat'l Institute of Transportation Highway Safety Administration), AOC, Nat'l Center for State Courts (NCSC), GCAC



Next Steps

Communication Method and Timeframe:

- Present update to Executive Committee (Jan 31- Feb 1, 2006)
- Present to Council (March 22, 2006)
- Draft communications for Listserv distribution (by May 30, 2006)
- Will create Clerks Advisory Committee (at the March 22, 2006 meeting)
- Initiate conference calls for objective owners and members on the teams (Start by April 1) – to be held monthly at a minimum
- Summer COAG meeting (June 9, 2006)
- Continuing education and marketing (Summer 2006)
- Set Probate standards (by Sept 1, 2006)
- Establish certification process (by Dec 31, 2006)
- Draft legislation for 2007 session (April – November 2006)
- Develop method and content and conduct Clerk IT inventory surveys (by Sept 1, 2006)



Next Steps

Ongoing Maintenance of This Plan:

Updates:

- Roll into strategic planning schedule
- Recommended Frequency: Update semi-annual/annual
- Technology/Automation Committee will own (Council will assign the committee)

Measure Tracking:

- Recommended minimum of quarterly monitoring
- Conduct routine meetings to make adjustments based on results

Align with other Courts' Schedules:

- Judicial Council
- JTCC/GCAC (Judicial Technology Coordinating Committee and/or GCAC)

Establish Implementation Plan



Next Steps

- **Provide Final Strategic Plan to Probate Courts (GCAC)**
- **Develop Communication Plan (Probate Courts Council)**
- **Develop Implementation Plan (Probate Courts Council)**
 - Define Tasks/Activities
 - Develop Schedule/Timeline
 - Identify Resources
 - Determine Funding Requirements
- **Acquire External Support (as needed)**



Future Topics for Discussion and Consideration

The following points are additional suggestions and recommended topics for discussion/consideration by the Probate Court Leadership team:

- Participate in the creation of the Judiciary-wide IT Strategic Plan to ensure Probate Court initiatives are represented.
- Align this IT Strategic Plan with any existing Business Strategic Plans for the Probate Courts and ensure the IT initiatives support the business objectives appropriately.
- Keep balance between Strategic Objectives to progress in all areas.
- Allocate resources across Strategic Objectives.
- Develop process for ongoing prioritization and reviews (Portfolio Management).
- Define standards and architectures that will rollup to key initiatives to help support vision.
- Refine measures (internal and external) on a regularly defined basis.



Appendices

Appendices



Appendix A - Participants

The following individuals participated in the three day facilitated session:

- Joe Bledsoe
- Donald Boyd
- Mary Jo Buxton
- Janice Carroll
- Belinda Griffin
- Woody Jordan
- Sherri Lanford
- Barbara McDonald
- Bill Self
- Natasha Smith
- Nancy Stephenson
- Ken Van Horne
- Keith Wood