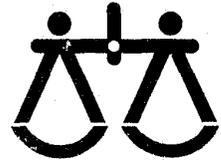


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Law Department  
Victoria

# Information Systems Plan

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Courts Management Change Program  
Project 2

**Courts Change Program  
Project 2.**

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**Information Systems Plan**

**October, 1985**

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OCTOBER, 1985.

# COURTS DIVISION

## INFORMATION SYSTEMS PLAN

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# 1. EXECUTIVE SUMMARY

In March 1984, at the direction of the Attorney-General, the Deputy Secretary for Courts established the Courts Management Change Programme. The thrust of this programme, which consists of eight major projects, is to improve the efficiency and economy of operations of the court system and the effectiveness with which the court system meets community needs. The preparation and publication of this plan is one of the major objectives of Project 2—Courts Management Change Programme. This project which is entitled "Administrative Systems and Management Information Data", and headed by a steering committee chaired by the Honourable, the Chief Justice of Victoria, has the following objectives:

- to document and analyse current systems, procedures and information flows in the Law Department and interfacing agencies as they relate to courts management
- to develop an information plan as a key element in ensuring that the needs of courts are identified, prioritised and met within a reasonable cost and time framework.
- subject to decisions taken as to the direction of change, develop a detailed change strategy.

The requirements and strategies contained in this plan, expand on the requirements set out in the "Information Systems Planning Report—May, 1985." These requirements were confirmed through a series of interviews conducted with selected members of the judiciary, magistracy, profession and personnel from those external agencies with which the courts interact. The strategies contained in this plan reflect discussions held with potential suppliers of computer equipment, communications facilities and application software who responded to an expression of interest. In addition, information plans prepared by other relevant agencies such as the National Centre for State Courts in the United States were reviewed and visits were made to selected court locations in the United States.

## Summary of Requirements

The courts currently make minimal use of computer systems. Apart from the recently implemented commercial causes system and the jury system, no systems have been implemented to support either the operations or the management information requirements of the courts. This lack of computer systems has meant that court services are not easily accessible either by the community or the legal profession; there is a lack of flexibility in the way the services are delivered and they are costly to provide. In addition, many court staff are involved in performing rote clerical activities rather than performing tasks which would be of more direct benefit to the Courts and its users. To address these problems, new systems are required in the following areas:

- **CASE FLOW MANAGEMENT.** New systems are needed in all jurisdictions to support the effective management of cases as they flow through the judicial process. These systems will provide facilities to track cases from initiation to final disposition; assist in scheduling of cases; prepare court lists and notify all interested parties of hearing dates; provide management

information to forecast and monitor the utilisation of all court resources, including judges and magistrates; provide statistical reports which monitor backlogs, case throughput rates and collate comparative damages and sentencing statistics.

- **COURT REGISTRY.** New systems are needed in all jurisdictions to address the problems of document filing and the maintenance of court records. These systems will provide facilities to electronically file and retrieve all case process; electronically prepare court registers and enable information to be transferred between the courts and external agencies. This transfer of information should be achieved either directly, using communication links or indirectly by the physical transfer of magnetic media such as magnetic tapes or diskettes.
- **CASH MANAGEMENT.** New systems are needed in all jurisdictions to record details of all payment of monies into and out of the courts and to prepare the required receipt documentation. In addition, the systems will prepare the accounting returns required by the Law Department, and other external agencies for whom the courts are collecting penalties. These new systems will enable payments to be made at any court, will aggregate all outstanding payments for individual offenders and provide for the electronic transfer of payments between courts and financial institutions.
- **JURY MANAGEMENT.** The new case management systems will record details of juror requirements. These requirements will be managed by a new jury management system which prepares jury summonses for issue by the sheriff, records details of ineligible jurors and prepares juror payments.
- **JUDICIAL SUPPORT.** Systems are required to assist judges and magistrates perform their judicial role. These systems will provide facilities to electronically access transcripts, access information on comparative damages, access case precedents, model judgements and jury charges, access publically available legal information using CLIRS and other facilities and maintain judges and magistrates personal files.
- **ADMINISTRATIVE SYSTEMS.** New systems are required to assist the Courts Division to effectively manage the financial and human resources for which they are accountable. These systems, listed as financial reporting and personnel management in the plan, are also required by other branches and divisions within the Law Department. Because the implementation of these systems will be completed as Law Department projects, and not specifically Courts Division projects, they have not been included in the implementation schedule.

The implementation of the new systems will achieve two fundamental objectives. Firstly, the systems will support, as far as possible, the implementation of the "paperless court" concept. Secondly, the systems will interface with relevant external agencies to provide an overall Justice Information System for Victoria.

## Computer Hardware and Communications Strategy

The implementation of the new systems will require the installation of terminals, printers and micro computers in courts, judges chambers, magistrates offices and masters and associates offices. These facilities will be linked by a communications network so that case and other information is accessible at all locations. The recommended hardware strategy to support the processing requirements of the new systems is to install large, centrally located, computers. Smaller computers will be installed at selected court locations to function as communications concentrators and provide some limited backup processing capability in the event that the central facility fails.

A number of communications networks will be required to support the processing requirements of the new systems. One network will be required to link the courts throughout Victoria. A second network will be required to link the profession to the court systems. Other communications facilities will be to link external agencies to the court systems.

It is recommended that the courts network be implemented using a Telecom terrestrial network providing dedicated leased communication lines to all locations. It is recommended that the profession link to the courts systems using the communication facilities of a third party communications network provider. It is proposed to link external agencies to the court systems using dedicated communication lines. This communication strategy will minimise the network establishment and operating costs for the courts, provide maximum flexibility to the profession in terms of the equipment which can be used by them to access the system and provide the required level of data security within the networks.

## Implementation Strategy

Eleven systems are proposed for implementation during the five years of the plan. The proposed implementation schedule provides for the early implementation of systems which will address the major information requirements and quickly provide significant benefits to the courts. The case management and cash management systems have been assigned top implementation priority by the Steering Committee.

The implementation schedule reflects the recommended strategy, that wherever practical, implementation of systems will be staged to:

- minimise disruptions to the business operations of the courts, and
- ensure that changes to existing procedures and policies are implemented at a manageable rate.

Significant resources will be required to implement the new systems. These resources will be provided by the Information Systems Branch, Courts Operations, and user areas such as Coroners Court personnel. These resources will be supplemented, where necessary, by external consultants to meet the peak requirements for development resources and to provide strong project management.

To minimise development time and effort, the courts should, wherever possible, implement appropriate software packages. Fourth generation language facilities should be utilised for those systems requiring custom development. During the planning project four separate packages were identified which addressed some of the courts system requirements. Insufficient work has been done, however, to determine whether any of these packages provide a sound basis for the development of the courts systems. It is recommended, therefore, that a project be commenced immediately to define the cash management and case management systems in sufficient detail to enable an accurate assessment to be made of the suitability of available packages.

## Economic Summary

The implementation of the new systems will provide significant tangible and intangible benefits to the courts, the Law Department, the profession, users of courts services and external agencies. Over seven years, accumulative tangible benefits are estimated to be \$27 million. These benefits will be

derived from redeployment of clerical and administrative resources, savings in pre-printed stationary costs, improvements in fine recovery rates, increased magistrate utilisation, reduction in the amount of non-productive time spent at the courts and more effective planning and utilisation of court resources.

Significant intangible benefits will be derived from the achievement of greater control over civil and criminal matters, reduction in the number of errors in information passed between agencies, potential to expand the business of the courts in Victoria into specialist areas such as maritime law and improvements in the productivity of judges and magistrates.

The estimated capital costs for implementing the new systems are \$15 million of which the most significant are computer hardware, establishment of central computer site, and software development. Annual recurrent expenditure is estimated to be \$2 million. Based on the estimated benefits and the proposed implementation schedule, the new systems should provide a positive cash flow in year three and enable the development costs to be recovered in seven years.

## Management Action Required

The following actions are now required to commence implementation of the plan:

Action Required	Target Completion Date
Steering Committee approval of the information plan strategies	September '85
Approval of the overall funding requirements and budgetary allocation of the funds required for the first year of the plan.	September '85
Establishment of an Executive Committee to be responsible for the overall implementation project.	September '85
Commencement of a design project to define the case management and cash management requirements in sufficient detail to enable an assessment to be made of the suitability of software packages.	October '85
Completion of a study tour of relevant court systems in the U.S., Europe and the U.K.	December '85
Recruitment of required Information Systems Branch personnel.	February '86

## Use of the Plan

The plan set out in the following sections should be used as a working document. The implementation schedule should be reviewed quarterly and modified to reflect changes in project status, Steering Committee priorities, availability of funds and availability of personnel resources. The hardware, communications, data security and document filing strategies should be used

as the basis for the preparation of a Request for Tender. The cost and development resource estimates should be continually revised as the systems are designed in more detail and the development approach finalised. A summary of the revised plan should be published at least annually.

## Conclusion

The implementation of the strategies and systems set out in the Plan will place the Victorian Courts at the forefront of computerised courts systems technology. The effective use of this technology will support the implementation of fully integrated systems which will address the information processing requirements of all types of court and criminal matters in all jurisdictions. The installation of approximately 500 terminals in 120 court locations will facilitate the establishment of one integrated case data base. This will eliminate the current requirement to manually maintain 100 separate case data bases. By providing on line access to this case information for the judiciary, magistracy, courts personnel, the profession and external agencies, the objectives of the paperless court concept can be achieved.

The successful implementation of the systems and strategies described in the Plan will require a significant investment of funds as well as enthusiastic support from the judiciary, magistracy, Courts Operations and the profession. This investment and support will facilitate the achievement of significant tangible and intangible benefits for all involved in the operations of the courts and the users of its services. By implementing the systems and strategies contained in this Plan the Courts System of Victoria has the opportunity to utilise technology to streamline its current operations and put in place a sound foundation for the future effective management of the courts.

# INTRODUCTION

## 2.1 Background

The Courts Division of the Law Department initiated a project in April 1985 to develop an Information Systems Plan to guide systems development and information processing activities over the next 5 years. The objectives of the Information Systems Planning project were to identify the information systems required to support the objectives of the Courts Division which are as follows:

- To provide an accessible and efficient Court System that ensures the protection of civil rights, the expeditious trial of criminal offences and the efficient and timely resolution of civil disputes, and
- To provide a responsive and efficient range of administrative and logistic support services to enable the judiciary and magistracy to effectively fulfill their function.

The project was completed using a project team comprising personnel from Courts Operations, Information Systems Branch and Arthur Andersen & Co. The project team received overall policy guidance and direction from the Steering Committee—Administrative Systems and Management Information Data which was established as part of the Courts Management Change Program. Membership of the Steering Committee and Project team is shown in Appendices 1 and 2.

## 2.2 Terms of Reference

The scope of the Information Systems Plan includes the operational and administrative systems requirements of the Supreme Court, County Court and Magistrates' Court jurisdictions.

The plan also addresses the requirements of the Coroner's Court, and the Administrative Appeals Tribunal. From a systems requirements perspective, the need for financial accounting and personnel management systems have been documented but not included in the proposed implementation schedule because these systems requirements will be addressed by systems to be installed on a Law Department—wide basis.

The strategies in the plan take into account the recommendations from the word processing and office automation evaluation project and the strategic information systems plans of the Director of Public Prosecutions and the Police.

## 2.3 Contents of the Plan

The plan contains the following sections:

*Summary of Requirements.* This section summarises the courts information systems requirements. These were developed based on interviews conducted with the judiciary, magistracy, clerks of courts, administrative personnel, profession and representatives from external agencies. During the interviews the requirements set out in the "Information Systems Planning Report—December 1984" were discussed and confirmed.

*Hardware Strategy.* This section documents the computer hardware alternatives available to address the Courts information processing requirements and provides a recommended hardware strategy. It also includes schedules which indicate the terminal, printer and micro-computer requirements of each court location within all jurisdictions. The hardware strategy was developed from an analysis of responses to an Expression of Interest and follow-up discussions with computer hardware suppliers. Strategies have also been included in this section for System Back-up and Security.

*Communications Strategy.* This section documents the recommended communications strategy for establishing communications links between the Courts' computers, terminals, printers and micro-computers. The strategy also documents how the profession and external agencies will access the Courts' computers.

*Implementation Strategy.* This section includes a proposed implementation schedule which lists the projects to be completed, the proposed timetable for their completion and the overall resource requirements.

*Project Organisation Strategy.* The implementation of the computer systems will require a significant level of resources. These resources will comprise personnel from the Courts Operations and Information Systems Branch, supplemented by external consultants. This section provides a recommended strategy for the effective management and organisation of these resources.

*Economic Analysis.* This section contains schedules of the costs and benefits relevant to the proposed implementation schedule. The major cost components are described together with the assumptions made in calculating the direct benefits.

*Appendices:* The appendices contain the following documentation:

1. Steering Committee Membership—list of members of the Steering Committee for Administrative Systems and Management Information Data. (Program 2 of the Courts Management Change Program).
2. Project Team—list of members of the Project Team who prepared the plan.
3. Project descriptions—detailed descriptions of all the projects which need to be completed.
4. Corporate Data Model—a diagrammatic representation of the data entities and relationships required to support the information systems.

In addition to the Information Systems Plan, three system prototypes have been developed on micro-computers which emulate, to a limited extent, the systems which will eventually be implemented for Case Management and Cash Management. These prototypes will be used to illustrate the processing facilities which will be provided by the new systems. They also provide a sound basis for the ongoing development of the new systems.

## 2.4 Updating the Plan

The publication of the Plan is a significant achievement, as it is the prerequisite to the successful implementation of systems within the Courts. It is essential that the Plan be regularly updated to reflect changes in priority, changes in available funds and changes in any other significant factors such as project delays or unavailability of resources.

It is important to recognise that the resource approximations contained in the Plan have been prepared based on summary information only and that they should be reviewed prior to and during, the development of each system as more detailed information becomes available.

# 3. SUMMARY OF REQUIREMENTS

## 3.1 Introduction

The section summarises the significant problems which exist with the existing manual procedures and information systems used by the judiciary, magistracy and courts administrative personnel. Against each problem are noted the systems or procedural changes required to address the problem.

The summary of requirements was prepared from interviews conducted with the judiciary, magistracy, courts administration and operations personnel, members of the profession and representatives from external agencies which interact with the courts. At these interviews the requirements previously documented in the "Information Systems Planning Report—December 1984" were discussed and confirmed.

The requirements were used to prepare the project descriptions and an Expression of Interest document was distributed to approximately 62 potential suppliers of computer hardware, application software, communications facilities and systems development facilities.

## Summary of Requirements

<i>Problems</i>	<i>Requirements</i>
<p>1. <i>All administrative systems are labour intensive.</i> Significant clerical and professional effort is involved in processing and filing case documents, orders, warrants and payments. An increasing workload combined with a shortage of resources means the staff are under intense pressure to keep up with the work. Delays occur in the processing of documents; documents are lost; case files are mislaid and staff are unable to provide a high quality service to the public and the profession.</p>	<p>Implementation of computer systems and revised procedures which eliminate the multiple handling of case files and documents; eliminate the requirement to transcribe data from one document to another; eliminate the requirement to maintain registers and cross-references to registers manually; electronically record the movement of case documents and files and simplify the process of charging for court services and accounting for revenue.</p> <p>Current technology should ensure that all case documentation originally prepared by the profession and external agencies such as police is electronically filed within the courts system. The contents of these electronic files, within strict data security, should be made available to all relevant parties.</p> <p>The system should record all court orders and, where appropriate, pass this data electronically to external agencies.</p> <p>The system should monitor court procedures and provide exception reports whenever such procedures are not complied with.</p>

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## Problems

2. *Inefficient use of resources within the Courts System.*  
Manual listing systems, lack of a computer-based case/event tracking system and minimal accountability within the profession for case duration estimates result in inefficient utilisation of resources. Resources include the judiciary, magistracy, and administrative support staff. Costs are incurred by witnesses and police officers arriving at court when they are not required.
3. *Court Systems not Integrated.*  
Significant problems occur because of lack of integration including:
- inaccuracies in the police systems concerning judgments, sentences and the status of original charges;
  - delays in the communication of critical information to the RTA, Parole Board, Office of Corrections;
  - loss of documents;
  - management of the jury pool is difficult because of the lack of integration of the listing system and the jury management system.
4. *Lack of Information.*  
There is a lack of timely, relevant information to support the operational management of the courts. Statistical reports are prepared for each jurisdiction on case backlog, case disposition and the productivity of judges and magistrates. However, minimal analyses are done on the backlogs to determine trends in case duration or to predict the effect of complex cases on the capacity of the system. There are no systems available to forecast the effect on judges, magistrates, courts administrative personnel or court facilities, of proposed changes in jurisdictional limits.

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## Requirements

- A computer-based listing system which utilises the information from the case management system.
- Profession estimates for case duration will be recorded and monitored together with the availability of judges, magistrates, and court facilities.
- A facility needs to be provided to record details of specific hearing dates either determined at callovers, mention court days or allocated by the Criminal Trial Listing Directorate.
- The listing system will provide information concerning future juror requirements so that these resources can be effectively scheduled.
- Electronic diary facilities will be provided to record the availability of professional expert witnesses.
- All new systems, as far as possible, need to be electronically integrated, both internally and with the relevant systems of external agencies.
- This integration is essential, not only to overcome existing problems, but to ensure that new systems such as the case management system are implemented cost effectively.
- Regular statistical reports are needed which monitor the overall performance of the courts system. Reports required include:
- analyses of the case backlog; highlighting exceptions such as criminal cases which have not been brought to trial within a required period;
  - analyses of case disposition rates;
  - trend reports which focus on case type and case duration and monitor the capacity of the courts system;
  - analyses which monitor the effective utilisation of the judiciary, magistracy and court facilities.
- Statistical reports should be prepared automatically from information maintained in systems such as case management, jury management and case scheduling. The computer preparation of these statistical reports should enable those clerical resources currently involved in the manual

5. *Lack of judiciary support systems.*  
The lack of systems and information to support the judges and magistrates affects their productivity and increases the potential for error.
6. *Restricted Public Access to Courts.*  
The existing manual systems, with their inherent inflexibility, severely restrict public access to court information. Significant professional time is short in searching case files and documents at the courts. It is difficult for courts administrative personnel to quickly respond to case enquiries because of the volume of case files and the lack of supporting cross indices. The public is inconvenienced in having to pay fines at the court where the fine was imposed.
7. *Effective Management of Funds Invested with the Courts.*  
Whilst the courts have the responsibility for the management of the funds invested by order of the Court, they do not have either the administrative resources or systems to ensure that adequate returns are obtained on these funds. Significant clerical effort is required to support the recording of investment details and the management of the funds.

preparation of the reports to spend more time critically analysing the statistics.

There is a requirement for a personnel system to support the effective management of all personnel employed within the Courts Division.

Critical requirements are word processing for jury charges and 'model' judgments, and the facility to electronically access and index transcripts by exhibit, witness, plaintiff, defendant, ruling, key-word etc. Other requirements are the facilities to access statutes (current and revised), precedents, judgments, comparative damages and comparative sentencing statistics.

Micro-computer facilities are required to maintain judicial personal files.

Within the strict data security guidelines, systems are required which will enable the public and the profession to access case documentation. This access will need to be provided within professional offices and at the courts.

A new payment system is required which will enable payments to be made at any court location. This payment system should prepare the required receipt documentation and update the financial accounting records. The payments system should be electronically integrated with external banking systems to simplify the processing of payment transactions.

A system is required which provides a directory of court services, related agencies and contacts. This information should be available for public access at all court locations.

Portable computing facilities are required to support the proposed visiting Clerk of Courts function.

A system is required which facilitates the recording of all details concerning funds invested with the courts. This system should record details of all disbursements and automatically prepare cheques.

There is a requirement for a system to be implemented which supports the financial management of the funds. The need for this system within the scope of the courts system requirements, will obviously be affected by any decision to transfer the funds management function to another agency.

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*Problems**Requirements*

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8. *Lack of Financial Management Information.*  
There is a lack of timely, relevant information to support effective financial management of the courts. Information which monitors actual revenues and expenditure compared to estimates is either not available or is produced too late to be relevant. This lack of information makes it difficult to enforce accountability.
9. *Document Storage Requirements.*  
The requirement to store case documentation for a minimum of 15 years causes significant storage problems at all court registry and document storage locations. Particular problems exist for complex cases which have a large number of documents associated with them.
- 10 *Excessive Number of Forms.*  
Within each jurisdiction there is a number of forms, which although different in title and format, essentially perform the same function. The large number of forms creates problem in terms of timely printing and distribution to all court locations. In several instances, large quantities of forms have been wasted because changes to legislation have made them redundant.
11. *Collection of Fines.*  
The existing system does not enable penalties, imposed upon individuals or organisations by different elements of the judicial system, to be consolidated. The penalty recovery rate is therefore less than satisfactory. (The cumulative value of uncollected penalties currently stands at \$27 million.)
- A financial accounting and reporting system is required which monitors overall expenditure for both capital and recurrent expenditure within the various regions. This system should record and report on the physical and financial information required for program budgetting.
- Document storage facilities are required which reduce the physical space requirement for storing historical case documentation. The proposed electronic filing of documents should significantly reduce the storage requirements. Either micro-film or image processing facilities should be considered for storing existing case documentation.
- All new systems should minimise the requirement for courts and the profession to maintain large volumes of pre-printed forms. New systems should record details of the current format of each form and ensure that this current format is used for document processing.
- New systems should ensure that all relevant case-related information is extracted from previously processed documents and the requirement to duplicate information is eliminated.
- New systems should ensure that penalties imposed on individuals or organisations can be consolidated. Facilities should exist to support the planning and monitoring of time payment schemes for either individual or consolidated penalties.
- New systems should provide the facility to pay penalties at any court location.
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# 4.1 HARDWARE STRATEGY

## 4.1.1 Introduction

The proposed courts systems will require the installation of terminals, micro-computers, and printers in all jurisdictions at court locations throughout Victoria. One of the key strategic issues to be addressed is whether the courts systems processing strategy should be centralised (central computers controlling the network and processing all transactions), or distributed (some central processing but with regional mini-computers controlling their area of the network and processing transactions locally).

This section of the plan discusses this issue and other issues relevant to the hardware strategy including:

- the impact on the hardware strategy of the phased implementation approach;
- the availability of systems development productivity facilities;
- the requirement for integration of word processing, office automation and data processing facilities within the Courts Division and the Law Department;
- the exchange of information between the courts systems and external agencies, and
- the utilisation of existing hardware and facilities.

## 4.1.2 Centralised Versus Distributed Processing Strategy

The following discusses issues relevant to this strategy.

### Current Environment

Information processing within the courts is currently performed using manual systems. For the most part a case is initiated, heard and determined in the one court and any post court activity, such as payment of fines or costs, occurs at the court where orders are made. There is very little movement of case documents between courts. All case records are maintained at the court where the case was initiated.

### Future Environment

Under the Courts Management Change Program, the future organisation and operation of courts in Victoria will be based on a regional structure. Each region will contain a headquarters court, multijurisdictional courts, mention courts and hearing courts. A visiting court service will be provided for smaller country towns. Exhibits 4.1 and 4.2 illustrate the regional structure which will require far greater interaction and information flow between courts than presently occurs. The hardware strategy adopted must support this new structure.

It should also support the move towards the 'paperless court', whereby the profession and other court users will be able to use computer facilities to enquire on court information and to file case process electronically.

## Alternatives

Three alternative strategies could address these requirements:

### 1. *Centralised Hardware Strategy*

This strategy involves the installation of a central processing facility which would process all court systems for the State. Terminals, printers and micro-computers would be distributed throughout the State and connected to the central facility by a communications network. This central processing facility could consist of either single or multiple processors accessing one database.

### 2. *Distributed Hardware Strategy*

This strategy involves the installation of a minicomputer at each regional headquarters court supporting the terminals, printers and micro-computers installed in the other courts in the region. Each minicomputer would maintain a copy of all the application systems and process the transactions generated in its region. Case data would be stored only at the appropriate regional processor. Financial and personnel data would be stored at a central location. The regional minicomputers would be linked in such a way that data could be exchanged between them as required. These links would allow enquiries to be made on case information stored in other regions.

### 3. *Combined Centralised/Distributed Hardware Strategy*

This strategy involves the installation of a central processing facility to service all courts as per Alternative 1. However, in addition, each regional headquarters court and some larger court complexes would have a minicomputer installed to function as a communications processor and data concentrator. It may also provide some "off-host" processing and provide backup facilities in the event of the central processing facility or communications network failing. This backup could be achieved by "downloading" court files and daily hearing lists at the beginning of each day and by providing local transaction file logging. These transactions would then be processed by the central facility as soon as the malfunction was corrected.

## Transaction Processing Considerations

An analysis of the system transaction flows within the courts environment was used to evaluate the centralised versus distributed nature of the courts systems requirements. Based on this analysis, the processing strategies appropriate to the following systems are:

- *Case Management—Supreme and County Courts, Jury Management and Case Listing.*

As most transactions for these systems are generated in the central Melbourne area, these systems should be centralised. Access to these systems will, however, be required for circuit courts which means that input and enquiry facilities will need to be available to all regions via the network.

- *Case Management—Magistrates' Courts.*

Transactions processed by this system are highly distributed throughout the State. Most cases initiated within any particular region remain within that region. Therefore, this application is basically distributed in nature. However, there is a need to provide the facility to pay court fines and costs at any court, not only the one where the penalty was imposed or the matter heard. Ultimately facilities will be available to enable the profession to file documents electronically and enquire on case information from anywhere in the State. For this reason it is therefore recommended that this system should be centralised.

- *Case Management—Coroner's Court.*  
Approximately eighty percent of transactions for this system occur at the Melbourne Coroner's Court complex. Consequently, this system should be centralised and use terminals and printers linked to the central processing facility. Access to this system is also required throughout the State as Coroner's cases can be dealt with at any country Magistrate's Court. Access should therefore be provided via the communications network linking the regions and the central facilities.
- *Cash Management—All Jurisdictions.*  
The Cash Management System will provide the facility to process transactions at any court or location visited by a Clerk of Courts in the State. This facility requires a centralised processing strategy.
- *Administrative Systems.*  
These systems include Personnel, Financial Reporting and Library Management. The information processing requirements of these systems necessitate a centralised processing strategy.

## Hardware/Communication Failure and Maintenance

### *Centralised Strategy:*

- Should the central system fail, all court facilities throughout the State would be affected, unless back-up equipment is available or the system is configured using closely coupled minicomputers or multi-processor mainframe technology with built-in redundancy. To provide the required back-up a second processor could be installed which could also be used as a developmental machine. If this processor were IBM compatible it could also act as a back-up facility to the existing Corporate Affairs Office's mainframe computer.
- Should any communication line fail, all courts serviced by that line would cease to have access to the computer facilities, unless back-up communication facilities are in place. The use of small processors in the regions to log transactions and store essential data, such as the current days cases, would provide suitable back-up to both the central facility and the network. Also the provision of standby dial-up lines would provide additional back-up for the network.
- Long distance communication facilities will be required to link the remote court locations to the central site. The impact and cost of this could be minimised by linking the smaller courts to the regional processors described above in Alternative 3.
- As only one computer site is involved, computer hardware, system software and application system maintenance resources can be concentrated at one location. This will simplify preventive maintenance and will reduce the court's overall maintenance costs. If an IBM compatible processor was selected then Law Department staff currently operating the Corporate Affairs Office computer could be used to install and maintain the Courts software and hardware.
- A high degree of co-ordination and control can be provided by specialist staff supporting a centralised system.
- A sound basis can be provided for systems integration by locating all data and applications on one system.

### *Distributed Strategy:*

- Maintenance would be distributed throughout the State. This would result in higher maintenance charges, potentially longer delays in correcting faults and the standard of maintenance may vary across the State.
- Should a distributed processor fail, only areas directly serviced by that facility would be affected. At the central location the separate processors supporting the Supreme, County and Melbourne Magistrates' Court could

be linked. Should a fault occur in any one of these processors, then the other processors could take over with a minimal impact on processing. However, this may be difficult to achieve technically.

- Long distance communications requirements would be minimised as each regional court terminal or micro-computer would be connected to the nearest regional headquarters processor. However, all communications with the profession would have to come via the central facility thus reducing this advantage.
- Each processor would need to be of sufficient size and processing power to run all the applications despite variations in the volume of work and the number of users. This could lead to additional hardware costs and development complexity.

## Response time implications

### *Centralised Strategy:*

- As all applications will be running on the one central processing facility, tuning the computer will be a critical and ongoing task. Equipment upgrades to overcome response time problems may be expensive. This cost can be minimised to some extent by selecting a computer at the low end of a model range which provides the facility for on-site upgrades.
- Response times for particular regions can be tailored by use of priority systems and line speeds.
- Response times at remote locations may be affected by increased line error rates due to the distance from the central site. However, the current state of communication technology largely eliminates this problem.

### *Distributed Strategy:*

- Each region will be unaffected by workloads in other regions.
- The performance of each processor can be tailored to suit the workload in its area, however the processor would be more susceptible to peaks and troughs in the processing workload.
- Response times would be increased for transactions requiring access to other processors.

## Communication Costs

### *Centralised Strategy:*

- Communication requirements (and their costs) will be greater as all transactions will have to be transmitted to the central location for processing. The results of each transaction would then be transmitted back to the originating terminal. At most locations, processing requirements during court sitting days would necessitate on-line processing facilities.

### *Distributed Strategy:*

- A large percentage of transactions would be processed within the region although the requirement to communicate with the central facility would increase as the profession moves towards electronic filing.

## Developmental Effort

### *Centralised Strategy:*

- As this approach is a tried and tested one, the establishment of the processing environment would be relatively straight forward, especially if an IBM compatible environment was chosen and existing application developmental tools used.
- As the systems software environments used by mainframe computers tend to be more complex than minicomputers, additional specialist expertise will be required in establishing and maintaining the environment.

#### *Distributed Strategy:*

- As the network architectures required to implement this strategy are relatively new technology, some difficulties could be expected in the establishment of the network and communications between processors.
- The development of application systems will be more difficult with this strategy due to the networking requirements and the need to maintain data integrity between the multiple data bases.
- Minicomputer systems software is generally simpler to install and operate than the equivalent mainframe systems software. The design effort however may increase in the distributed environment.

### Redundancy/Integrity Implications

#### *Centralised Strategy:*

- With a centralised system, a single database could be implemented and maintained which would reduce data redundancy and the need to maintain case directories on each processor. Data integrity would also be easier to maintain.

#### *Distributed Strategy:*

- As data would be stored at multiple locations, methods of synchronising copies of databases would need to be developed. Current Data Base Management Systems do not provide complete or proven solutions to data integrity problems arising from the use of distributed data bases.
- Recovery procedures would be extremely complex.

### Resource Requirements

#### *Centralised Strategy:*

- The adoption of this strategy will mean that a large network of terminals driven by the one central processing facility would need to be established. Once established, the physical network components (e.g. line driver, multiplexors etc.) need to be maintained.
- As one processing facility is managing all the communications, significant levels of processor power will be employed in simply driving the network (e.g. polling the terminals).
- A large complement of technical support and operation personnel will be required to establish and maintain a central mainframe site.

#### *Distributed Strategy:*

- As terminals are distributed between all minicomputers, the communications load on any one processor would be less.
- A greater level of investment would be required to establish and maintain each computer facility.
- The hardware maintenance costs would be greater as maintenance contracts would be required for each processor, many of which would be in remote sites.

### 4.1.3 Impact on the Hardware Strategy of the Phased Implementation Approach

The introduction of computerised court systems should be staged to allow for a smooth transition from the existing manual systems to new automated procedures. Hardware resources will need to be regularly upgraded to coincide with these stages. This approach will minimise the initial costs and co-ordinate hardware expenditure with the achievement of anticipated benefits.

The appropriate hardware strategy to support the phased implementation approach is to select a series or range of processors which can offer necessary increments in processing power with minimal impact on the operating environment and application systems. It is estimated that the required processor power to support the processing requirements of the courts systems is in the order of 4 to 10 million instructions per second. To address this upgrade strategy machines should be compatible in respect to the machine instruction set and peripherals. The operating system must be uniform throughout the range.

#### 4.1.4 Availability of Systems Development Productivity Facilities

Implementation of the courts systems will require considerable applications developmental effort. To achieve the implementation schedule extensive use should be made of systems development productivity facilities including Fourth Generation Languages (4GL), Query Languages and Application Generators.

It is recommended that consideration be given to selecting a computer hardware and software supplier who can provide such facilities.

#### 4.1.5 Integration of Word Processing, Office Automation and Data Processing

The nature of the courts systems requires a high degree of integration between data processing and office automation facilities, particularly word processing. This integration is required to support the transfer of documents throughout the courts network and facilitate access to the case file databases. The objective of the integration strategy is to enable any court terminal to perform both data processing and office automation functions. The recommended strategy is to select computer hardware which provides the greatest degree of certainty of achieving this.

#### 4.1.6 Exchange of Information Between Courts and External Agencies

The computer hardware selected must be capable of efficiently exchanging information between the Court systems and the Victoria Police, Road Traffic Authority, Department of Corrections and other agencies. When the court systems are fully implemented direct input of case details and output of court results will occur between the courts and these agencies. This facility will significantly reduce the data entry workload of the courts. The two main agencies the courts deal with are the Police and the R.T.A. both of which have recently acquired IBM equipment. The recommended strategy is to provide an SNA communications link with these organisations (refer to communications strategy).

#### 4.1.7 Utilisation of Existing Hardware

The Law Department currently has two Prime minicomputers running the Integrated Sheriff's Information System (ISIS) and the Financial Management

package FM/80. This equipment is close to capacity and is therefore not likely to be used for processing the court systems. A link should be established, however, between the ISIS system and the Magistrates' Case Management System to enable the automatic issue of civil warrants to the Sheriff's Office. This will provide a considerable reduction in the data entry workload in the Sheriff's Office.

#### 4.1.8 Recommended Hardware Strategy

Based on the issues discussed above it is recommended that the Law Courts adopt the following hardware strategy:

##### 1. Processing Strategy

That alternative 3 be adopted. This strategy involves the establishment of a central processing facility which will be configured using one of the following:

- Dual mainframe computers;
- Multi-processor mainframe computer, or
- Closely coupled minicomputers.

In addition, for performance and backup reasons, it will be necessary to provide front-end communications processors and/or small distributed processors in the regions for off-line storage and to function as data concentrators for the network.

##### 2. Equipment Supplier Strategy

That a strong preference be shown for IBM compatible processors to facilitate:

- ease of communication between the courts systems and the major external agencies with whom they interact, namely the Police and the Road Traffic Authority;
- utilisation of the Corporate Affairs Office Facom equipment as possible backup to the Courts processors;
- effective utilisation of existing Law Department Information Systems Branch personnel who are currently developing the skills required to develop systems in an IBM or IBM compatible environment;
- implementation of the widely accepted IBM Systems Network Architecture (SNA) as recommended in the communications strategy;
- access to the widest range of system development productivity aids data base management systems, system software utilities and application packages, and
- provide maximum flexibility in the selection of the peripheral devices (including terminals, printers, micro-computers, image processing work stations) required to support the Courts systems.

##### 3. Systems Design Strategy

It is recommended that the design philosophy for the courts application systems be based on a centralised processing approach for all systems.

## 4.2 SECURITY STRATEGY

### 4.2.1 Introduction

When all systems are implemented the courts computers and communications network will be providing operational and administrative support to the judiciary, magistracy and administrative personnel in all jurisdictions at all court locations throughout Victoria. The systems will also provide facilities for the profession and external agencies to electronically file process within the courts and access case related information. In such an environment strict security measures must be implemented. This section documents the key security issues and provides recommendations as to how these issues should be addressed.

### 4.2.2 Back-up Facilities

#### Level of acceptable risk

Before any security issues can be discussed, a base level of security needs to be defined. This base level of security is the minimum level of security and back-up procedures required in the courts data processing environment.

Court systems deal with matters which affect an individual's liberty and financial status. Security measures are therefore required which instill public confidence in the records management function of the courts. The users of court services must have complete confidence that case process, once lodged at court, cannot be changed and will be available when required. The court systems need to operate in an on-line environment to ensure that the most recent case details are available and the resources of the courts are efficiently used.

Should systems be unavailable for a period in excess of 3 to 4 hours the situation would be considered critical. During this period the courts would be unable to continue to function effectively and the confidence of the profession and public would be severely affected. Considerable effort and resources should therefore be used to ensure that adequate back-up and security measures are in place.

#### Back-up

The alternatives for hardware backup are:

1. Do nothing other than back-up the system on a regular basis and store information off-site. This is the most common back-up procedure as it is inexpensive and the chances of a disaster occurring off-site are remote.
2. Establish an arrangement with a similar site so that, in the event of a disaster, the resources at that site can be used. The problem with this approach is that few installations are prepared to install sufficient capacity to provide the required resources. Consequently, there are significant scheduling problems whenever such arrangements need to be followed.
3. Establish an agreement with a Computer Service Bureau whereby resources are provided during non-peak times. In the event of a disaster this arrangement usually allows for data to be captured manually during

prime shift and subsequently processed outside the prime shift. The advantage of this alternative is that it is practical and inexpensive. Significant costs would only be incurred in the event of a disaster. Insurance could be arranged for the estimated cost.

4. Totally duplicate the central computer so that, in the event of a disaster, there is an adequate back-up available on-site. The back-up facilities could be used for systems development during normal processing.
5. Estimate the resources required to process the critical system and arrange for a Computer Service Bureau to have these resources available at all times. As with a back-up site these resources could be used for systems development during normal processing.

To effectively provide disaster back-up the back-up resources should not only be in place but should be tested regularly. Formal disaster recovery plans should be prepared specifying the procedures to be followed in the event of a disaster at the central site.

### Recommended Back-up Strategy

The recommended approach is to adopt alternatives 1 and 4. System data should be backed up regularly and stored off-site. In addition the computer hardware should be duplicated and the second machine used for application development. If an IBM compatible processor is selected for the Courts then cost effective back-up to the existing Corporate Affairs Office mainframe computer could be provided by the second processor.

### Regional Courts Link-up Facilities

In addition to the back-up measures for the central processors, it is recommended that at all major court complexes a small processor be installed to facilitate daily downloading of essential court data from the central site and to perform transaction logging. This approach will minimise the impact of a failure or fault in either the communications network or the central processing facility. The courts will be able to function in the event of line or central processor failure. It will also be feasible to use the small processor as a communications concentrator to reduce the operating costs of the communications network and to improve its performance.

## 4.2.3 Data Security

As a general rule, court records in the Supreme and County Courts are public records and are available for inspection by members of the public. Exceptions are adoption files, cases subject to orders restricting access and matters heard 'in camera'. However, case records in the Magistrates' Court are not public records and are only available to court staff and the parties involved. Special security measures are also necessary for Children's Court case files.

The major objective of data security in the courts environment is to ensure that case documents are not lost, removed or altered. Controls should be built in to the systems to prevent documents being deleted or altered. If optical disc storage is used then this feature is inherent in that technology as optical disks can only be written to once but read many times. All information stored in the database, should be protected by transaction logging facilities and the requirements for user identification and password control.

## 4.2.4 Physical Security

Court systems as with all computer systems, will be vulnerable to misuse which may arise from genuine errors, negligence, or intentional malicious or fraudulent acts. Procedures and physical controls will be required to protect the system against such misuse.

Other potential threats include technical component failure and natural forces such as fire, flood and storm damage. The central computer facility will require all normal site protection equipment (smoke detectors, Halon gas, back-up power, emergency lighting) and all equipment should be covered by a comprehensive maintenance agreement.

The central computer site will require a security system to restrict access to authorised personnel only. Persons will need to be nominated as being responsible for the administration and enforcement of security measures. When recruiting computer operations staff the recruiting procedures should include a security check of the potential employee.

If a second processor is installed for back-up and systems development it will be possible to implement procedures to ensure that the production processor is secure from possible corruption by programmers and other systems development staff. Such procedures would specify that all program modifications are coded and fully tested on the developmental machine prior to controlled implementation on the production machine.

Security measures will also be necessary to control access to terminals in the courts. Several measures can be adopted. Firstly, the locations of terminals can be such that only court staff can access them. Secondly, the terminals can be fitted with locks to prevent their use when unattended. Finally the network controller will be able to monitor and control the terminal network by the use of terminal identification. This will allow terminals to be brought on-line or logged off remotely.

## 4.2.5 Access to the Communications Network

Security over the network has two aspects. The first is the control of access to the network through the correct identification and authorisation of users. The second aspect involves ensuring that data travelling across the network is secure.

Access security is essential in any on-line system. The user must be identified and the system must authorise the various transaction processing functions which the user can perform, particularly update functions. In the courts processing environment the court staff will each have a password. A unique operator identifier will be used to control the more sensitive processing functions. Routine functions such as case enquiries will be controlled by the physical location of the terminal.

Similar procedures will be necessary to control access by the profession. Each user will be issued with a user identification and password. If access cards are used in conjunction with a user personal identification number (PIN), only authorised holders of the cards will be able to gain access to the network. This would be applicable where signatures are required to authorise the filing of case process.

Security over the communications network can be achieved using several measures, one of which is the use of data encryption/decryption devices. This is costly and would cost approximately \$1,300 per terminal. It is considered that these costs are not justified within the courts processing environment as court data would be difficult to tamper with and there is minimal motivation to do so. Unless the perpetrator has detailed case knowledge and continuously monitored communications lines any

meaningful tampering with case details would be difficult. This would be made even more difficult by sending case identification data separate to other case data. If some form of unauthorised monitoring of the lines was done, it would be of little use as only minimal case information would be accessible.

Security of the network will be increased by using leased lines. Telecom have installed sophisticated equipment to monitor their lines. In addition the level of expertise required to isolate particular wires within a communications line is extremely high.

With the profession using dial-up facilities via a third party network, security will be further strengthened by requiring users to satisfy two sets of user access authorisation criteria. This third party network will provide protection to the courts computer systems from direct dial-up and access attempts by 'hackers', (persons who attempt to breach computer systems and networks).

#### 4.2.6 Recommended Security Strategy

The major strategies relating to security issues of the court systems are:

- (a) That all application systems provide adequate data security;
- (b) The use of optical disk technology should be considered for storage of case process;
- (c) That a central computer site be established which provides restricted access and maximum protection against all likely threats or events. It is further recommended that all terminals in the network have the facility to be locked to prevent unauthorised use;
- (d) That all application systems require user identification and password protection prior to the processing of any transactions or enquiries, and
- (e) That dial-up facilities are only provided by a third party network and the courts network uses leased lines.

## 4.3 DOCUMENT FILING AND MANAGEMENT STRATEGY

### 4.3.1 Introduction

Two of the key issues to be addressed in the implementation of the case management systems is how, or in what form should case process be filed at the courts and how should these documents be managed by the courts. One of the major objectives of the implementation of the new systems is to introduce the concept of the 'paperless court' which implies that case process is filed electronically and no hard copy document files are maintained at the courts. The extent and the time-frame in which this concept can be implemented is dependent on the technology available, the extent of the required legislative changes, the cost of available technology and the acceptance of the concept by members of the profession.

During this project preliminary discussions have been held with the profession concerning the "paperless court" concept. Obviously, prior to the implementation of the concept further detailed discussions will need to be held. This factor has been taken into account in the preparation of the proposed implementation schedule. Consequently, the proposed implementation schedule provides time to enable detailed discussions to occur prior to a total implementation. This schedule also provides for a 12 month project to be completed to assess the legal and procedural implications of the electronic filing of case process.

This section of the plan discusses the alternatives available for filing documents at the courts and provides a recommended strategy for the Supreme, County and Magistrates' Courts jurisdictions.

### 4.3.2 Alternatives

*Manual Filing* This approach involves the manual filing of documents at the courts. Summary case data would be extracted from documents and input into the case management systems. A computerised index would be maintained to allow for quick access to documents.

This approach would have the least impact on the profession and the current filing procedures of the courts. To be effective, it would require the installation of facilities to support 'flat' files. It is only feasible as a short term strategy for the Magistrates' Courts where minimal case process is filed for each case and the cases are of short duration.

*Image Processing* This approach involves the scanning of documents filed at the courts, using scanning equipment. An image of the scanned text is "burnt" into the surface of the optical disk thereby making them permanent records. At any time the images can be retrieved and the documents printed for use in courts. Once scanned, the hard copy documents would be returned to the profession.

The facility to print the documents at any time will significantly reduce the requirement for the courts to file case process. A critical factor in the success of this approach will be the legal acceptance of the scanned signature. With available technology, it is not cost effective to transmit images over

communications lines because of the volume of data which must be transmitted for each image. Consequently, this approach is currently only feasible at the central sites. Access by the profession to the scanned documents would require them to visit the courts. From a systems perspective, it would still be necessary for courts personnel to extract summary case data from the scanned documents and input this data to the case management systems.

This alternative would address two significant document filing problems within the Supreme and County Courts, namely, missing case files or documents and multiple access to the same file.

*Electronic Filing* This alternative involves the electronic filing of all case process by the profession or external agencies using equipment located either in their offices or at the courts. Under this approach documents would be stored in electronic data format and would be accessible by document type, date, key word or other indices. Documents could be printed at any time at the courts and would be accessible electronically by the profession. Documents could also be transmitted between members of the profession using electronic mail facilities. Hard copies of the documents would not be stored at the courts, but would be retained by the profession. Electronic images of the documents would be stored for archival purposes.

The most significant issue to be resolved prior to implementing this alternative, is the legal implications of not having signatures on documents when process is filed electronically. Consequently, the proposed implementation schedule includes a project to specifically address this issue.

The implementation of this alternative would also significantly impact the profession. Consequently, the implementation schedule and the project organisation structure have been prepared to enable the profession to have considerable input on the design of the case management system.

### 4.3.3 Recommended Document Filing and Management Strategy

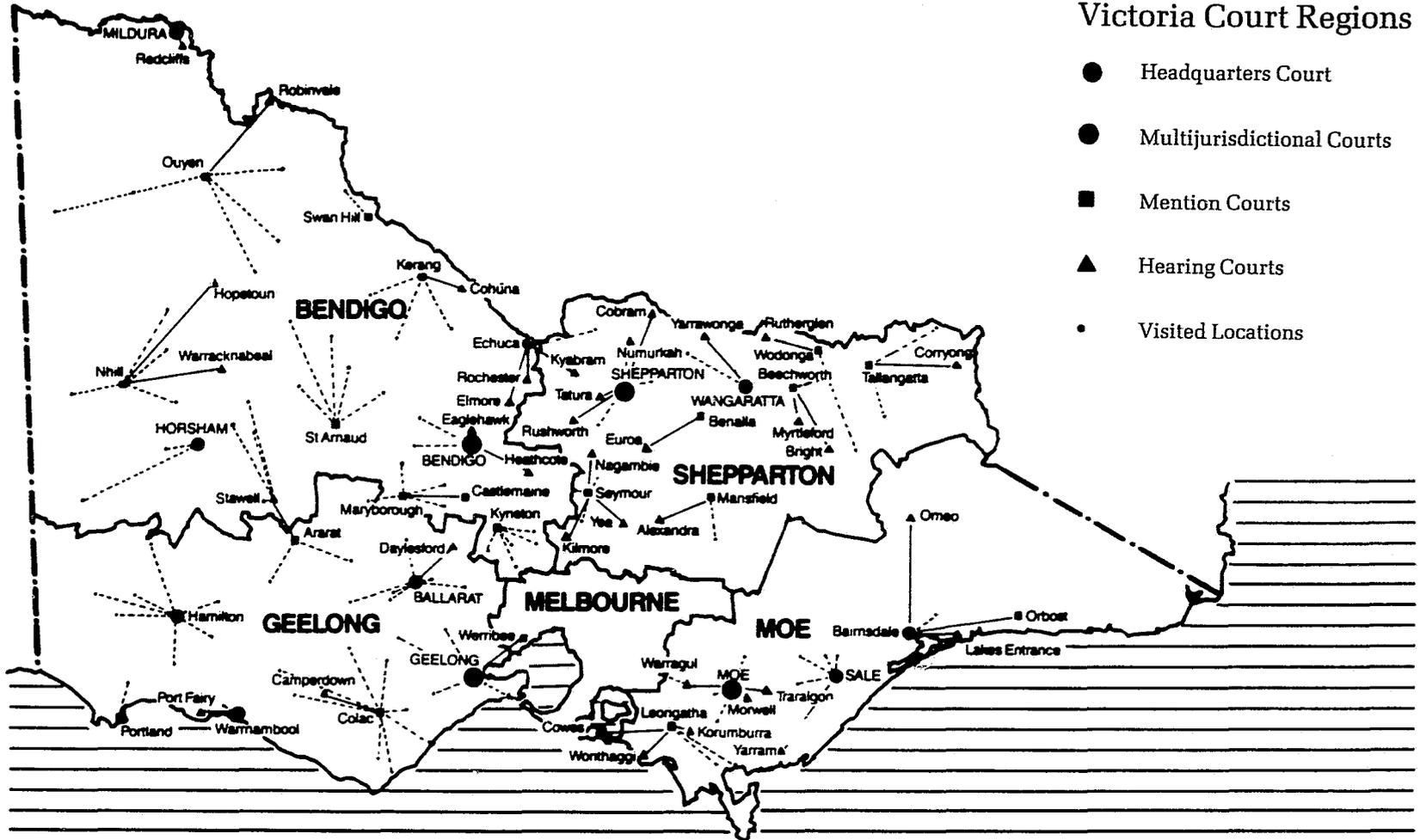
It is recommended that provided the signature issue can be resolved, full electronic filing of documents should ultimately be implemented in all jurisdictions. As stated above, there needs to be considerable discussion with the profession, and detailed analysis of the legal and procedural implications, prior to the implementation of the concept.

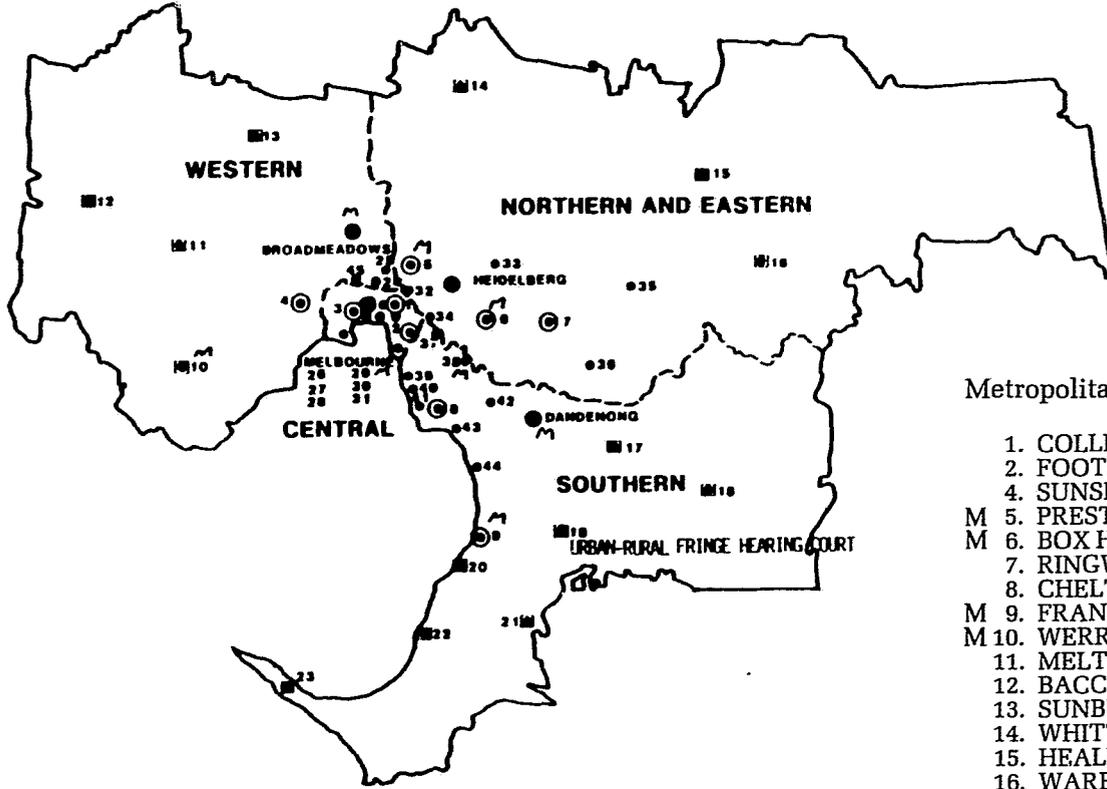
Consequently, two interim strategies are recommended. In the Magistrates' Court jurisdiction, "flat" files should be introduced for the filing of case process. In the Supreme and County Courts, image processing facilities should be implemented provided they can be demonstrated to be practical and cost effective.

The target date for the commencement of electronic filing of documents by the profession is February 1988 (after a pilot installation in July 1987.) It is believed that this timing allows for advancements in image processing and word processing technology to be taken into account in assessing the electronic filing alternatives.

# Victoria Court Regions

- Headquarters Court
- Multijurisdictional Courts
- Mention Courts
- ▲ Hearing Courts
- Visited Locations





## Metropolitan Region

- Metro Region Headquarters Court
- ⊙ Proposed Court Complex
- Metropolitan Hearing Court
- Urban—Rural Fringe Hearing Court
- M Mention Court

### Metropolitan Hearing Court

- |                   |                     |
|-------------------|---------------------|
| 1. COLLINGWOOD    | 24. COBURG          |
| 2. FOOTSCRAY      | 25. BRUNSWICK       |
| 4. SUNSHINE       | 26. CARLTON         |
| M 5. PRESTON      | 27. SOUTH MELBOURNE |
| M 6. BOX HILL     | 28. PORT MELBOURNE  |
| 7. RINGWOOD       | M 29. WILLIAMSTOWN  |
| 8. CHELTENHAM     | 30. FITZROY         |
| M 9. FRANKSTON    | 31. ST. KILDA       |
| M 10. WERRIBEE    | 32. NORTHCOTE       |
| 11. MELTON        | 33. ELTHAM          |
| 12. BACCHUS MARSH | 34. HAWTHORN        |
| 13. SUNBURY       | 35. LILYDALE        |
| 14. WHITTLESEA    | 36. FERNTREE GULLY  |
| 15. HEALESVILLE   | 37. CAMBERWELL      |
| 16. WARBURTON     | M 38. OAKLEIGH      |
| 17. BERWICK       | 39. ELSTERNWICK     |
| 18. PAKENHAM      | 40. BRIGHTON        |
| 19. CRANBOURNE    | 41. SANDRINGHAM     |
| 20. MORNINGTON    | 42. SPRINGVALE      |
| 21. HASTINGS      | 43. MORDIALLOC      |
| 22. DROMANA       | 44. CHELSEA         |
| 23. SORRENTO      | 45. MOONEE PONDS    |

# 5. COMMUNICATIONS STRATEGY

## 5.1 Introduction

A communications network will need to be established to support the installation of terminals, printers and micro-computers at all court locations covering all jurisdictions throughout Victoria. This communications network needs to provide access to the courts systems for the profession and external agencies such as the Police and RTA. This section of the plan discusses relevant communications issues and provides a recommended strategy.

The communications strategy addresses the courts communications network and protocol requirements. The objective in developing the strategy has been to provide the courts with a network which is flexible and can continuously evolve to take advantage of new technology. To provide maximum flexibility to the profession in terms of equipment installed in their offices the network must be able to support a wide range of peripheral equipment types and protocols.

## 5.2 Network Options Available

There are a number of networks available which would address the communication requirements of the courts. They are:

- (a) Telecom terrestrial network using Datel Services and/or Digital Data Services (DDS). The Datel Service uses the existing telephone network to transmit data. The network can be established using either private leased lines or the switched telephone network. The Digital Data Service uses a network specifically designed for data transmission. It is generally recommended for the transmission of high volumes of data.
- (b) Telecom satellite network. This is a new service whereby data is transmitted to a satellite (AUSSAT) in orbit above the earth which then transmits the data back to earth stations. These can be private earth stations or Telecom earth stations both of which can be connected to the Datel and Digital Data Services.
- (c) Private packet switching network from a third party. This type of network uses a technique that routes discrete quantities of data called packets through the network. With this technique circuits are not switched and dedicated to a user for the duration of a call. Instead, the packets are transmitted over logical links called virtual circuits.
- (d) Combination of (a), (b) and (c).

In preparing this strategy, discussions have been held with the vendors of each type of network.

## 5.3 Provision of the Courts Network

The courts require statewide computer communications. Terminals located in the smaller hearing courts and portable terminals used by visiting Clerks of Court will be networked to either data concentrators or small processors

(minicomputers) at the Headquarters, Multi-jurisdictional and Mention Courts. These in turn will be networked to the central processor(s) in Melbourne. Exhibit 5.1 illustrates this proposed communications network.

This type of network is best provided by a Telecom terrestrial private network. As satellite communications are developed and become more widely used it may be appropriate to use this form of communication, particularly if used as a back-up in case of failure of the terrestrial link.

A key requirement of the court systems is to provide a communications interface with the profession. Because of the flexibility required in terms of the different types of equipment to be connected to the network it is recommended that this should be achieved via a third party network. This facility will allow the profession to access the court system using a dial-up system to a third party network which will be connected to the Courts network via high speed lines. There will be no direct dial-up facility to the courts' computers. All billing for connect time will be the responsibility of the third party.

There are a number of potential third party network providers.

Consequently, the communications network solution should be subject to a separate tender at the appropriate time.

## 5.4 Data Types and Volumes

The estimated annual transaction processing volumes are:

	<i>Supreme</i>	<i>County</i>	<i>Magistrates</i>
Cases/Files initiated	10,000	35,000	700,000
Additional Documents	73,000	132,000	900,000
Enquiries	90,000	200,000	2,100,000
	<b>173,000</b>	<b>367,000</b>	<b>3,700,000</b>

The input of these transactions to the courts systems will involve multiple input transmissions containing, in many transactions, large amounts of text.

These processing estimates approximate to one transaction every 1.7 seconds at the central computer, based on the assumption of an even loading of transactions during the day and throughout the year. Obviously, this assumption is simplistic and does not take into account the peak processing which is likely to occur at the beginning and end of the Courts business day. The assumption is appropriate, however, as a basis for estimating the processor power required at the central facility. From a communications perspective, once the profession moves to electronic filing of case process, most of the communications traffic will occur between the profession and the third party network providers. It will be necessary to provide a high speed communication line between the third parties and the central facility.

The network proposed in this communications strategy should be sufficient to support the data transfer and enquiry requirements between the central facility and the courts. The strategy should be reviewed when the case and cash management systems are defined in more detail.

To meet the performance requirements of the courts systems, the communications network will require high speed communication lines for the Supreme and County Courts, the 11 major metropolitan court complexes and the 12 Multijurisdictional country courts. The remaining 38

metropolitan courts and 54 country locations will be serviced by slower speed lines connected via the major courts. Several high speed lines will be required to connect the third party network to the courts system for access by the profession. Additional lines will be required for other external agencies.

The network will be required to support an estimated 515 terminals and 257 printers. Of these 111 terminals and 82 printers will be in country centres. Exhibit 5.2 provides the basis for these estimates.

## 5.5 Network Security Strategy

The communications network must provide an acceptable level of security. Although data encryption/decryption is not considered necessary for the majority of the network, all reasonable steps must be taken to prevent unauthorised access or monitoring of line traffic. The third party network must provide controlled access using both user and password identification. For security reasons there should be no direct dial-up facility to the courts system other than via the third party network.

## 5.6 Communications Network Architecture and Protocols

The communications network architecture and protocols to be used in the network should be based on an industry accepted standard. This approach will provide maximum compatibility between processors within the courts network and those of other government agencies such as the Police, RTA (Road Traffic Authority) and Corrections. IBM's SNA (System Network Architecture) is recommended as the preferred option for the courts network. This architecture is widely used and has developed into a standard architecture for wide area networks such as that needed for the courts. SNA supports a wide variety of devices as well as document interchange between word processing and data processing applications. Consequently, most major computer suppliers provide an SNA gateway for communicating in an SNA environment.

The third party network proposed for communicating with the legal profession must be very flexible as the legal profession currently have equipment installed from many different suppliers. To protect this investment, considerable weighting must be placed on selecting a network which can support all major protocols and most minor ones, and has the facility to convert from one protocol to the other including protocols such as X.25 and TTY.

## 5.7 Communications Requirements with other Agencies

As mentioned above there is a need for communication links to be established with other agencies and organisations. These will include Victoria Police, RTA, Office of Corrections, CLIRS and banking systems (for cash management processing). Where required, high speed links will be established to facilitate data transfer of court information e.g. police summonses and arrest information. This will eliminate much of the courts data entry workload.

## 5.8 Level of Integration with Office Automation Systems

The successful achievement of the courts information systems requirements will require integration of the proposed word processing and data processing facilities.

Often, documents prepared on word processing equipment such as judgments, will need to be transferred to a case file stored in the main database on the courts computers. In addition, word processing documents will need to be accessible from any terminal in the network.

Well defined standards on how documents and requests for document distribution are to be communicated through the network will need to be designed.

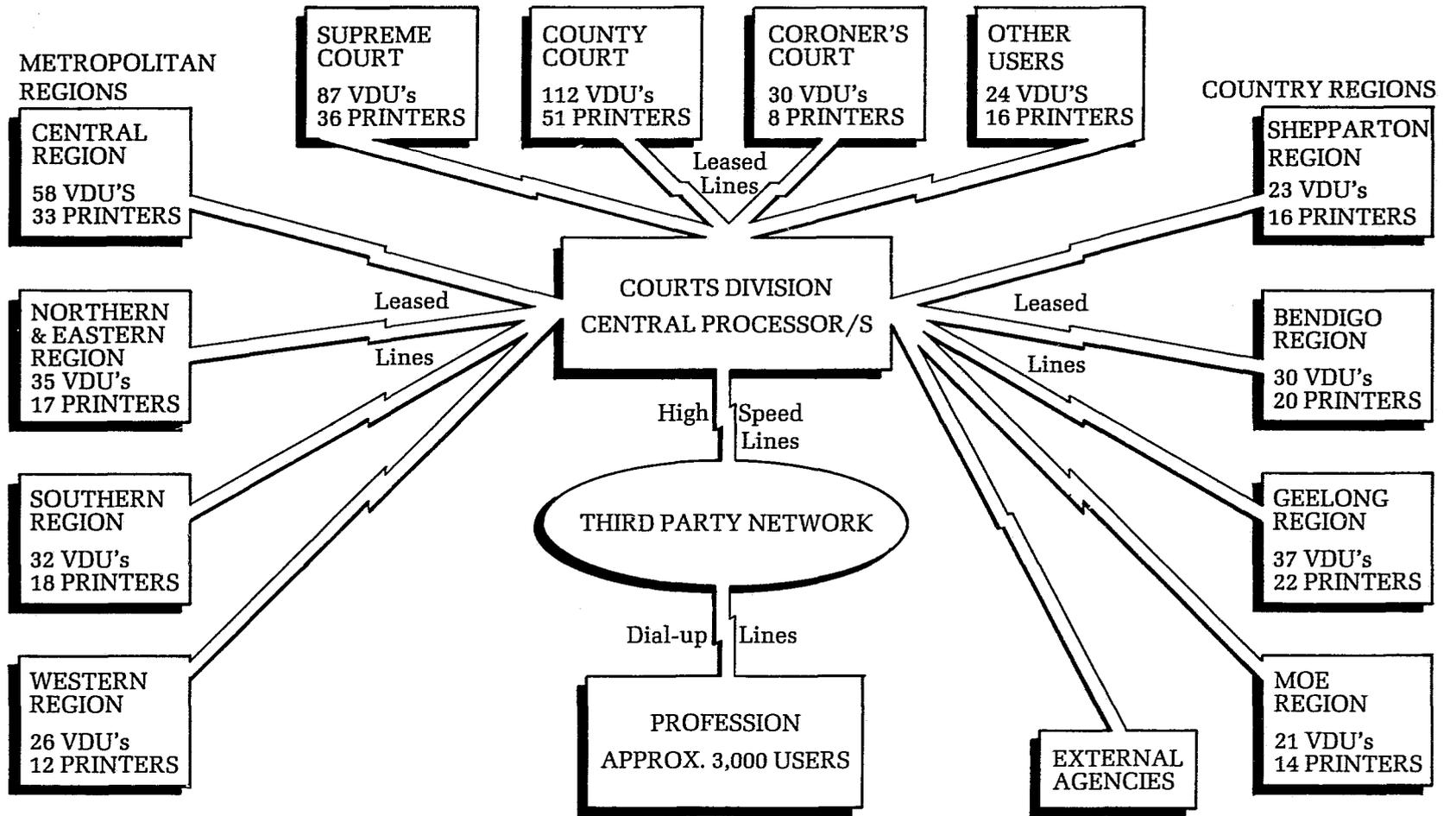
## 5.9 Recommended Communications Strategy

Based on the recommended strategy for a central processing facility servicing all courts within Victoria and the requirement to provide access to the courts systems to the profession and other agencies, the recommended communications strategy is:

- Provide a terrestrial network utilising leased or dedicated lines to connect courts to the central facility;
- Provide a communication facility for the profession via a third party network;
- Adopt IBM's System Network Architecture (SNA) as the communications network architecture, and
- Establish the courts communications network by issuing a separate tender to select the most flexible, and cost efficient option.

# Communications Network

EXHIBIT 5.1



## Terminal Population—Summary

<i>Courts/Location</i>	<i>Terminals</i>		<i>Printers</i>	
	<i>Fixed</i>	<i>Portable</i>	<i>Fixed</i>	<i>Portable</i>
Supreme Court	73	14	22	14
County Court	96	16	35	16
Magistrates' Courts Regions				
Central	52	6	31	2
Western	25	1	11	1
Northern and Eastern	33	2	15	2
Southern	28	4	15	3
Bendigo	17	13	9	11
Moe	15	6	10	5
Shepparton	13	10	6	10
Geelong	29	8	14	8
Criminal Trial Listing Directorate	3		1	
Children's Court	8	3	3	3
Coroner's Court	25	5	5	3
Courts Administration	10		3	
<b>Total</b>	<b>427</b>	<b>88</b>	<b>180</b>	<b>78</b>

## Terminal Population—Summary

The proposed terminal/printer population is based on the following assumptions:

## Supreme Court

- Two terminals in each court room
- One terminal in each judge's chambers
- Fourteen portable terminals/printers for use by judges on circuit and in their homes
- Where possible one printer will service two court rooms
- Six printers to service judges

## County Court

- Two terminals located in each court room
- One terminal in each judge's chambers
- Sixteen portable terminals/printers for use by judges on circuit and in their homes
- Where possible, one printer to service two court rooms
- Five printers to service judges

## Terminal Population—Magistrates' Courts

<i>Region/Court</i>	<i>Terminals</i>		<i>Printers</i>	
	<i>Fixed</i>	<i>Portable</i>	<i>Fixed</i>	<i>Portable</i>
<b>Central Region</b>				
Melbourne	35		18	
Prahran	11	2	9	1
Williamstown	4	1	2	
South Melbourne	1	1	1	
Port Melbourne	1	1	1	
Carlton (T/C)				
Collingwood				
Fitzroy (T/C)				
St. Kilda		1		1
Footscray (T/C)				
<b>Total</b>	<b>52</b>	<b>6</b>	<b>31</b>	<b>2</b>

## Terminal Population—Magistrates' Courts

<i>Region/Court</i>	<i>Terminals</i>		<i>Printers</i>	
	<i>Fixed</i>	<i>Portable</i>	<i>Fixed</i>	<i>Portable</i>
<b>Western Region</b>				
Broadmeadows	12		5	
Sunshine	2		1	
Werribee	2	1	1	1
Melton		*1		*1
Bacchus Marsh		*1		*1
Sunbury		*1		*1
Coburg (T/C)				
Brunswick	4		2	
Moonee Ponds	5		2	
<b>Total</b>	<b>25</b>	<b>1</b>	<b>11</b>	<b>1</b>

## Terminal Population—Magistrates' Courts

<i>Region/Court</i>	<i>Terminals</i>		<i>Printers</i>	
	<i>Fixed</i>	<i>Portable</i>	<i>Fixed</i>	<i>Portable</i>
<b>Northern and Eastern Region</b>				
Heidelberg	7	1	3	1
Box Hill	5		2	
Ringwood	5		2	
Preston	6		3	
Whittlesea		*1		*1
Healesville		*1		*1
Warburton		*1		*1
Northcote	3		2	
Eltham (T/C)				
Hawthorn (T/C)				
Lilydale	2	1	1	1
Ferntree Gully	5		2	
<b>Total</b>	<b>33</b>	<b>2</b>	<b>15</b>	<b>2</b>

## Terminal Population—Magistrates' Courts

<i>Region/Court</i>	<i>Terminals</i>		<i>Printers</i>	
	<i>Fixed</i>	<i>Portable</i>	<i>Fixed</i>	<i>Portable</i>
<b>Southern</b>				
Dandenong	6		3	
Cheltenham	2		2	
Frankston	5		2	
Berwick		1		1
Pakenham		*1		*1
Cranbourne		*1		*1
Mornington		*1		*1
Hastings		1		1
Dromana		1		1
Sorrento		*1		*1
Camberwell	1	1	1	
Oakleigh	5		1	
Elsternwick (T/C)				
Brighton (T/C)				
Sandringham	3		2	
Springvale	4		2	
Mordialloc	2		2	
Chelsea (T/C)				
<b>Total</b>	<b>28</b>	<b>4</b>	<b>15</b>	<b>3</b>

## Terminal Population—Magistrates' Courts

<i>Region/Court</i>	<i>Terminals</i>		<i>Printers</i>	
	<i>Fixed</i>	<i>Portable</i>	<i>Fixed</i>	<i>Portable</i>
<b>Bendigo</b>				
Bendigo	7		3	
Castlemaine		2		1
Maryborough		*2		*1
Cohuna		*1		*1
Eaglehawk		1		1
Echuca	1	1	1	
St. Arnaud		1		1
Horsham	3	1	2	1
Kyneton		1		1
Heathcote		*1		*1
Kerang	1	1	1	1
Mildura	3	1	1	1
Redcliffs		*1		*1
Swan Hill	1	1	1	1
Robinvale		*1		*1
Ouyen	1	1		1
Rochester		*1		*1
Nhill		1		1
Hopetoun		*1		*1
Warracknabeal		*1		*1
Stawell		1		1
<b>Total</b>	<b>17</b>	<b>13</b>	<b>9</b>	<b>11</b>

## Terminal Population—Magistrates' Courts

Region/Court	Terminals		Printers	
	Fixed	Portable	Fixed	Portable
Moe				
Moe	3	1	2	1
Yarram	1		1	
Korumburra		1		1
Morwell	4		3	
Traralgon	1	1	1	
Warragul		1		1
Leongatha		*1		*1
Bairnsdale	3	1	1	1
Omeo		*1		*1
Orbost		*1		*1
Sale	3		2	
Lakes Entrance		*1		*1
Wonthaggi		1		1
Cowes		*1		*1
<b>Total</b>	<b>15</b>	<b>6</b>	<b>10</b>	<b>5</b>

## Terminal Population—Magistrates' Courts

Region/Court	Terminals		Printers	
	Fixed	Portable	Fixed	Portable
Shepparton				
Shepparton	4	2	1	2
Alexandra		*1		*1
Benalla	2	1	1	1
Cobram		1		1
Euroa		*1		*1
Kilmore		*1		*1
Kyabram		*1		*1
Mansfield	1	1		1
Nathalia		*1		*1
Numurkah		*1		*1
Tatura		*1		*1
Seymour	2	1	1	1
Rushworth		*1		*1
Yea		*1		*1
Beechworth		1		1
Bright		*1		*1
Myrtleford		*1		*1
Rutherglen		*1		*1
Tallangatta		1		1
Corryong		*1		*1
Wangaratta	2	1	2	1
Wodonga	2	1	1	1
Yarrawonga		*1		*1
<b>Total</b>	<b>13</b>	<b>10</b>	<b>6</b>	<b>10</b>

## Terminal Population—Magistrates' Courts

Region/Court	Terminals		Printers	
	Fixed	Portable	Fixed	Portable
Geelong				
Geelong	13	1	6	1
Ballarat	6	2	4	2
Daylesford		*1		*1
Colac	3	1	1	1
Warrnambool	3	1	1	1
Hamilton	3	1	2	1
Portland		1		1
Camperdown		*1		*1
Port Fairy		*1		*1
Ararat	1	1		1
<b>Total</b>	<b>29</b>	<b>8</b>	<b>14</b>	<b>8</b>
<b>Totals</b>	<b>212</b>	<b>50</b>	<b>111</b>	<b>42</b>

\* Shared terminals/printers

T/C These courts have been closed on a temporary basis and consequently have not been included in the proposed population

1. The projected terminal and printer population for magistrates' court is based on the following assumptions:

- One terminal will be located in each court room
- Where possible one printer will service two court rooms
- Courts staffed on a part time basis will be serviced by portable equipment where possible, the equipment will be shared on a regional basis
- One or more terminals depending on the workload of the court, will be provided for each major function. Smaller courts will have one terminal for all functions.

# 6. IMPLEMENTATION STRATEGY

## 6.1 INTRODUCTION

This section provides a recommended strategy for implementing the application systems. The proposed implementation schedule set out in Exhibit 6.1 lists the following major projects:

- *Establish the computing environment.* This project involves the preparation and evaluation of tenders for computer hardware, systems software, application software (if applicable) and communications facilities. It also includes the design and construction of a central site to house the Courts Division computers, and the commissioning of the hardware.
- *Case Management (Supreme and County Court)* This project involves the implementation of a case management system in the Supreme and County Court jurisdictions. The scope of the system will address the requirements of case flow management and the court registry. Four stages are proposed for implementation. The preliminary stage involves the definition of the system in sufficient detail to enable an objective assessment to be made of the applicability of available application packages and development alternatives. Stage 2 involves the design and implementation of a case flow management system based on the entry of summary case process data at the Prothonotary's Office and the County Court Registry. This stage also involves the implementation of improved document storage techniques at the Prothonotary's Office and the County Court Registry possibly using image processing technology.

Prior to implementing facilities for the profession and external agencies such as Police to file process electronically, it is proposed that a project be completed which assesses the legal and procedural implications of introducing such facilities. The scope of Stage 3 will include this assessment. It will also include the establishment of facilities for selected members of the profession to electronically input and access case data.

Stage 4 of this project involves the development and implementation of facilities to enable the profession to electronically file case process and access case data using equipment located either in their offices or at the courts.

- *Case Management (Magistrates' Court)* This project involves the implementation of a case management system in the Magistrates' Courts. The scope of the system will address the requirements of case flow management and the court registry. Four stages are proposed for implementation. The preliminary stage involves defining the system in sufficient detail to enable an objective assessment to be made of the applicability of available application packages and other development alternatives. Stage 2 involves the design and implementation of a case flow management system based on the entry at the court of summary case process data. The scope of this stage will also include the implementation of facilities to support the electronic scheduling and listing of cases in the Magistrates' Court. Stage 3 involves the design and implementation of facilities to enable the large prosecuting agencies to directly file case process using equipment located in their offices. This stage also involves the design and implementation of facilities to enable the profession to electronically input and access case data and the testing of that function on a pilot basis. Stage 4 involves the implementation of facilities to enable the profession to electronically file case process using equipment located either in their offices or at the courts.

- **Cash Management** (all jurisdictions) This project involves the design and implementation of a system which will record details of, and account for, the payments of monies into and out of the courts. It will include the preparation of all accounting returns required by the Finance and Accounting Branch of the Courts Division. Two stages have been proposed for implementation. The preliminary stage involves defining the system in sufficient detail to enable an objective assessment to be made of application packages and development alternatives. Stage 2 involves the design and progressive implementation of facilities at courts in all jurisdictions to address the requirements of cash receipting, cash payments and the electronic preparation of financial returns.
- **Case Listing** This project involves the design and implementation of a system which will support the electronic scheduling and listing of cases in the Supreme and County Court jurisdictions.
- **Jury Management** This project involves the design and implementation of a system which will manage juror requirements. This system will replace the existing jury system. Juror information will continue to be extracted from the Electoral Roll system processed by the Government Computing Service.
- **Library Systems** This project involves the implementation of a system to support the processing requirements of the libraries in all jurisdictions with processing based on an application package.
- **Judicial Support Systems** This project involves the design and implementation of systems to support the judiciary and magistracy. Two stages have been proposed for this project. The first stage will involve the conceptual design (probably using micro-computer prototyping facilities) of systems which will enable the judiciary to maintain their personal files, access and update comparative damages statistics, and access and manipulate copies of the transcript to assist them in the preparation of judgments. Stage 2 involves the implementation of the conceptual design.
- **Tribunal Case Management** This project involves the design and implementation of a system to support the management of cases, initially within the Administrative Appeals Tribunal jurisdiction. It is envisaged that once implemented the system will also be relevant to other Tribunals and Boards. The system will be based on the existing Planning Appeals Tribunal system.
- **Coroner's Case Management** This project involves the implementation of a system to support the administrative functions of the Coroner's Court as well as the management of cases in that jurisdiction.
- **Drug Identification Register System** This project involves the implementation of a system to assist toxicologists at the Coroner's Court identify unknown compounds/drugs.

The interrelationships between these systems is illustrated in Exhibit 6.2.

Detailed descriptions of these projects are included in Appendix 3.

Other projects which involve the design and implementation of administrative systems for the Courts Division and the Law Department such as Personnel Management and Financial Accounting and Reporting have not been included in the proposed schedule. They will be included in the overall plan for the Law Department which is being prepared by the Information Systems Branch.

## 6.2 IMPLEMENTATION OBJECTIVES

To develop the implementation schedule, each system was evaluated and assigned a preliminary implementation priority by members of the Project Sub-committee. These preliminary rankings were then confirmed by the Steering Committee.

The implementation strategy takes into account the following objectives:

- the need to implement systems which address the most significant problems as soon as possible;
- the implementation of common systems together to minimise interface requirements;
- the use, where applicable of proven software packages to reduce the implementation effort and elapsed time;
- the need to implement systems using a pilot site approach to minimise disruption to court operations;
- the need to allow sufficient time to determine the legislative and procedural implications of electronically filing case process, and
- the need to ensure that adequate resources from Courts Operations, Information Systems Branch and external consultants can be assigned to the project teams.
- the need to allow sufficient time for consultation with the profession and other external agencies concerning the electronic filing of case process, and
- the systems implementation priorities of external agencies such as Police and DPP.

In reviewing the implementation strategy the following points should be considered:

- The sequence in which the systems will be implemented should be subject to regular review based on changes in funding levels, priorities and progress against the schedule;
- Decisions to proceed with particular systems should be progressively reviewed. As detailed analyses are completed of each system the costs, benefits and resource requirements can be estimated in more detail and with greater accuracy. These revised estimates should be discussed with the Steering Committee and the decision to proceed with the system confirmed, and
- As design work is completed for each system scope alternatives will be identified which may allow the adoption of revised project staging.

It will be the responsibility of the Project Director (see Section 7) to complete these reviews and recommend changes to the implementation schedule as required.

## 6.3 DEVELOPMENT APPROACH

Responses to the Expression of Interest indicated that there are only four packages available and supported within Australia which address some of the courts' systems requirements. The following table indicates for each package, the package provider and the systems requirements addressed:

<i>Package Name</i>	<i>Package Provider</i>	<i>Computer Equipment</i>	<i>System Requirements Addressed</i>
DOCKETRAC	Computer Power	IBM, DEC	Case Management (all jurisdictions) Cash Management Case Listing Jury Management Tribunal Case Management
MAGISTRATES' COURT SYSTEM	ICL	ICL	Case Management (Magistrates' Ct) Cash Management
MAGISTRATES' COURT SYSTEM	KSH Systems	Any mini-computer which runs the PICK operating system	Case Management (Magistrates' Ct)
BLACKSTONE	Hewlett-Packard	Hewlett-Packard	Case Management (all jurisdictions) Case Listing

Of these packages, only DOCKETRAC is compatible with an IBM compatible mainframe strategy. However, insufficient design has been completed to ensure that DOCKETRAC adequately addresses the courts requirements. Consequently, it is recommended that a project be undertaken to define the case management and cash management systems in sufficient detail to enable an objective evaluation of the fit of DOCKETRAC to be completed. This evaluation should be supplemented by an overseas study tour by selected members of the Steering Committee to review appropriate DOCKETRAC installations. This tour should also review installations where custom developed software has been implemented and assess the suitability of those systems as a basis for the Courts systems.

Those systems which cannot be addressed by packages should be developed using fourth generation language facilities to reduce development time and increase system design flexibility.

The resource approximations provided in the detailed project descriptions assume a mix of custom development and modified package installations. As stated above, these resource approximations should be confirmed as the systems are designed in more detail.

All systems development projects will be completed using SDM/70 guidelines. It is recommended that the development approach utilise prototyping facilities to assist with the design of the systems.

## 6.4 DEVELOPMENT TIME FRAME

The proposed implementation schedule provides for the installation of all systems within four years. This is considered to be attainable if the required funds and resources are made available and the projects are properly managed and controlled.

This implementation schedule has been set to achieve the implementation objectives described above and to:

- spread out implementation projects sufficiently to enable the judiciary, magistracy, profession and Courts Operations personnel sufficient time to adapt to the new systems;
- gradually increase the level of computerisation within all areas of the courts, and
- provide a reasonable flow of direct and indirect benefits to the Courts.

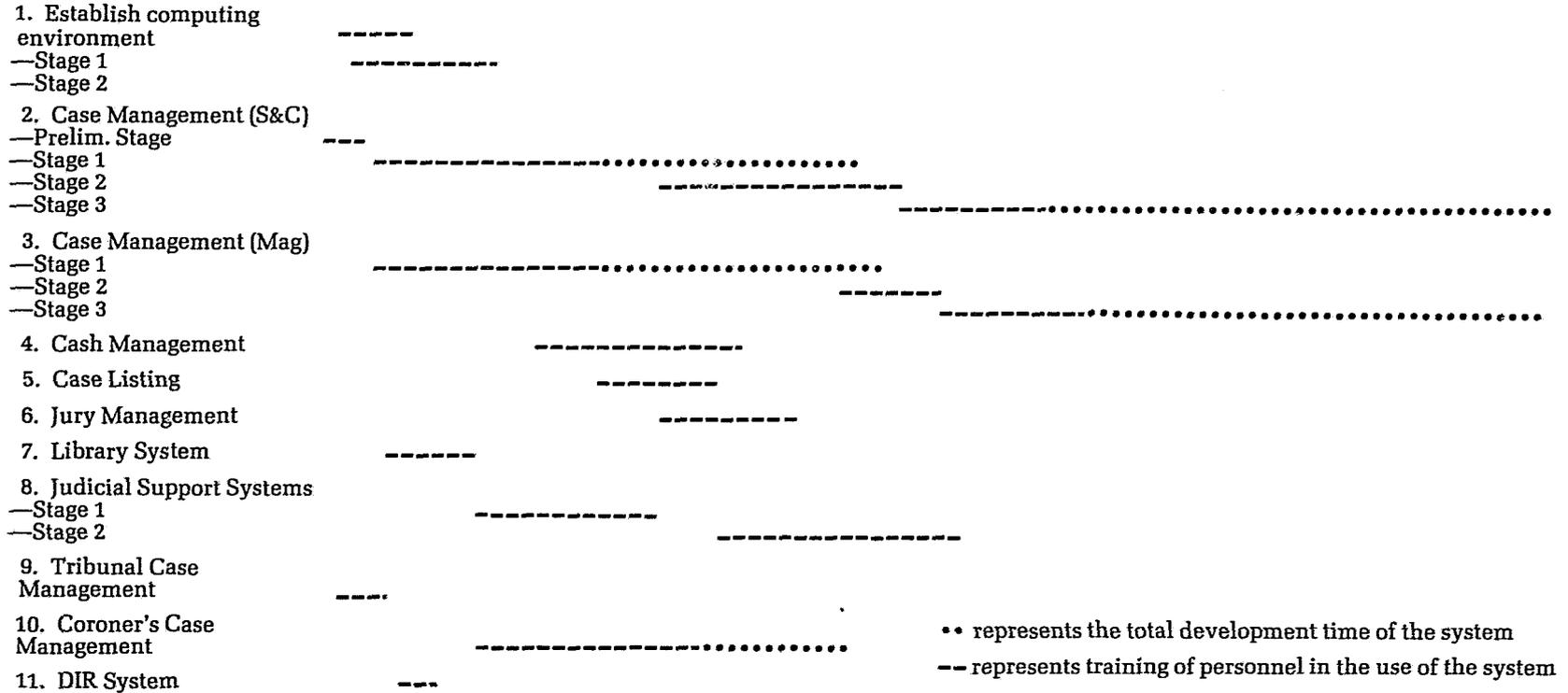
As discussed above, the proposed implementation schedule should be regularly updated to reflect actual progress achieved and any changes to implementation priorities and available funds or resources.

# Proposed Five Year Implementation Scheme

Elapsed Months 1,2,3,4,5,6,7,8,9,10,11,12,13,14,15,16,17,18,19,20,21,22,23,24,25,26,27,28,29,30,31,32,33,34,35,36,37,38,39,40,41,42,43,44,45,46,47,48,49,50,51,52,53,54,55,56,57,58,59,60,61,62,63,64

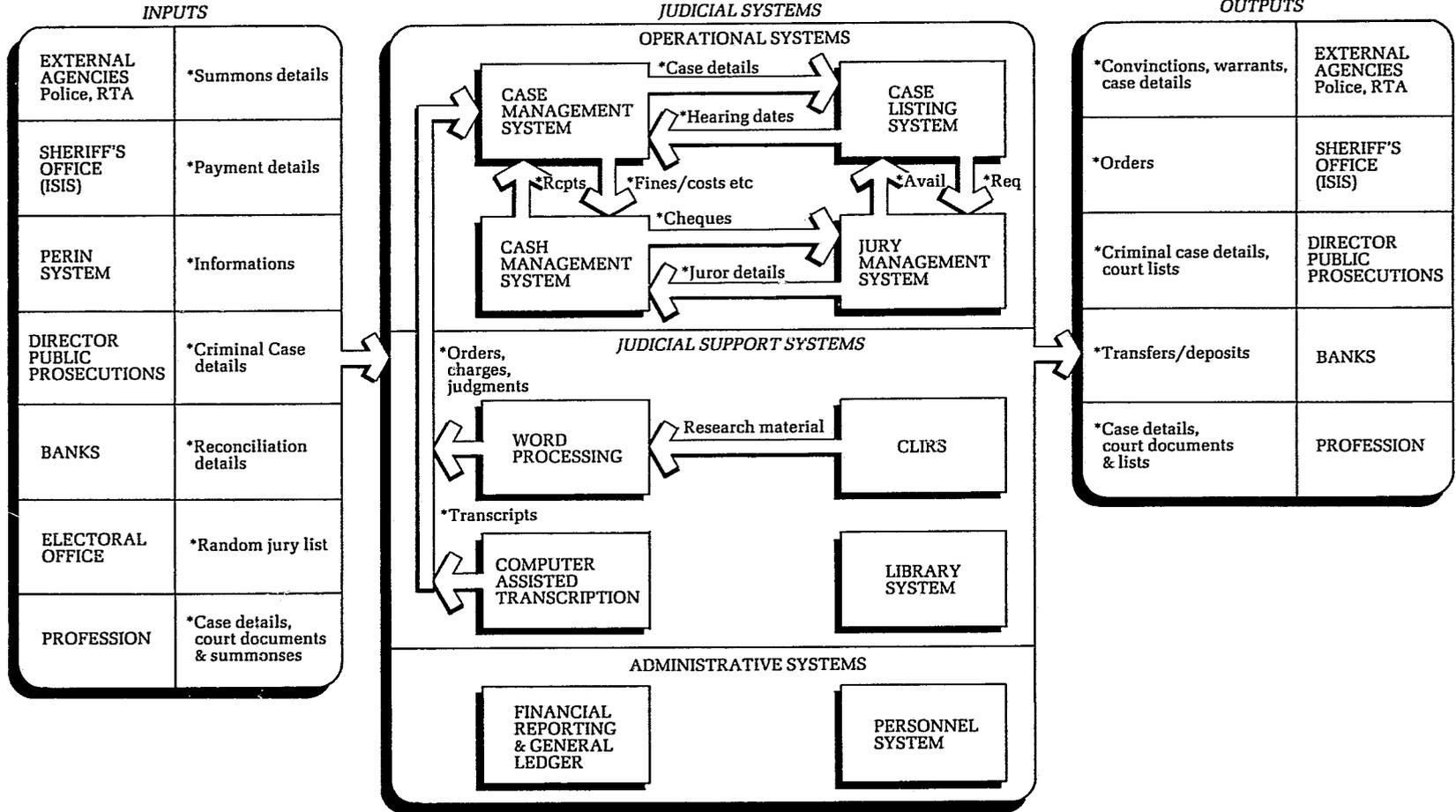
## Exhibit 6.1

### Elapsed Months



Elapsed Months 1,2,3,4,5,6,7,8,9,10,11,12,13,14,15,16,17,18,19,20,21,22,23,24,25,26,27,28,29,30,31,32,33,34,35,36,37,38,39,40,41,42,43,44,45,46,47,48,49,50,51,52,53,54,55,56,57,58,59,60,61,62,63,64

# System Interfaces



# 7. PROJECT ORGANISATION STRATEGY

## 7.1 INTRODUCTION

A significant level of Courts Division resources including Clerks of Courts, administrative officers and personnel from the Information Systems Branch will be required to meet the proposed implementation schedule. These resources will be supplemented, where necessary, by specialist resources from the successful tenderers of hardware, systems software, developmental facilities, application software and external systems consultants. The overall project will need to be closely co-ordinated and monitored by the judiciary, magistracy, profession, Law Institute, Law Foundation and the Law Department.

This section of the plan proposes an organisation structure for the overall project and describes how this structure will provide the required level of project management and co-ordination.

## 7.2 PROJECT ORGANISATION STRUCTURE

Exhibit 7.1 illustrates the proposed implementation project organisation structure. The resource requirements and roles of the various committees and personnel shown in the Exhibit are described below.

### (a) Steering Committee

The Steering Committee established for this project should be retained.

This committee should provide overall policy guidance and direction to the project and provide guidance on all legislative and procedural issues. It is anticipated that this committee would meet bi-monthly.

### (b) Executive Committee

An Executive Committee should be established comprising a maximum of seven members of the Steering Committee. This committee should provide executive guidance and direction to the project, approve project resource requirements, monitor the status of individual projects and approve changes to the implementation schedule.

It is anticipated that this committee meet monthly.

### (c) Consultative Group

An occupational health and safety consultative group should be established to provide input to the projects. Proposed membership of this group is:-

Victorian Public Service Association

Clerk of Courts Group

Public Service Board

Non-Union Staff Representatives

This group would meet on a regular basis to discuss project issues which are relevant to their areas of interest.

### (d) Project Director

The project director should have overall responsibility for the co-ordination of the individual projects and the achievement of the overall implementation schedule.

His other responsibilities will include:

- monitoring progress against the plan and preparing formal progress reports for discussion with the Steering Committee;
- preparing recommendations for changes to the proposed implementation schedule and updating the Information Systems Plan once these recommendations have been approved by the Steering Committee;
- liaising with the Information Systems Branch manager to co-ordinate the assignment of Information Systems Branch personnel to the project teams, the procurement of external consultants, and the installation of hardware, software and communications facilities;
- co-ordinating the assignment of specialist technical resources to the project teams;
- establishing and co-ordinating the systems development standards and project management standards to be used by the project leaders, and
- providing guidance to the project leaders.

This person will be critical to the successful achievement of the implementation plan. To successfully carry out the role, the person will need to have strong project management skills, good written and verbal communication skills, prior experience in managing large projects using systems development methodologies and prior experience in liaising with vendors of hardware, software and communications facilities. Because of the skill requirements and the temporary nature of the position it is recommended that this position be filled by an external consultant.

#### (e) Project Committee

Separate project committees should be formed for each project. Membership of these committees should comprise selected members of the judiciary or magistracy as applicable, senior management representatives from the Information Systems Branch and the Courts Division of the Law Department, the Project Director and the appropriate Project Leader. The role of these committees should be to provide direction to the project, approve the assignment of resources, monitor the status of the project, provide guidance on any legislative or procedural issues, and approve project scope and policy issues.

#### (f) Clerical and Technical Support Personnel

The projects will require the full-time assignment of specialist technical support and administrative personnel. Specialist support personnel will include:

- *data base administrator* who will be responsible for co-ordinating the design and implementation of the various data bases required to support the application systems;
- *communications analyst* who will be responsible for designing and implementing the communications network;
- *systems programmers* who will provide technical support to the various project teams and implement the systems software and developmental facilities required to support the application systems, and
- *administrative officer(s)* who will be responsible for providing sufficient word processing and clerical support to ensure the timely preparation of systems documentation and project status reports. These officers will also be responsible for cataloguing and filing all systems documentation.

It is anticipated that these resources will be provided by Information Systems Branch and Courts Division personnel.

### (g) Project Leaders

Three project leaders will be required to head the project teams which will implement the various systems. These project leaders will be responsible for managing the projects and resources assigned to them, enforcing systems development standards, providing overall technical and functional guidance to the project team members and assigning tasks to them. They will also liaise with the selected hardware and software vendors and regularly meet with the other project leaders, project director and Information Systems Branch management. They will regularly report progress to the appropriate Project Committee. It is anticipated that these positions will be filled by Information Systems Branch personnel and external consultants.

### (h) Training Co-Ordinator

When implemented, the systems will affect all personnel involved in Courts Operations and Administration including the judiciary, magistracy, profession, clerks of courts, and administrative personnel. With the number of people affected it is essential that a training co-ordinator be appointed full-time to the project to plan, co-ordinate and supervise the conduct of the training. This person will need to liaise closely with the project leaders and project director to ensure that training programs are prepared on a timely basis and that the training courses are scheduled to cause minimum disruption to the normal business of the courts.

It is anticipated that this person will be provided by the Information Systems Branch. Training courses will be conducted by personnel from within the various project teams.

### (i) Analysts, Programmers, Clerks of Courts, Administrative Officers

These resources will be assigned to the various project teams on an "as required" basis. It will be the responsibility of the project leaders to estimate the resource requirements for their projects and submit requests to the project director. These requests will be reviewed by the project director, the Information Systems Branch manager and Court Operations management and appropriate resources assigned.

Because of the need for the Information Systems Branch to provide resources to other Law Department Projects it is recommended that external consultants be used to supplement internal analyst and programming resources.

The estimated resource requirements to support the proposed implementation schedule are summarised in Exhibit 7.2. It is important to note that the resource requirements shown are approximations only and will need to be confirmed both prior to, and during, the various phases of development of each system.

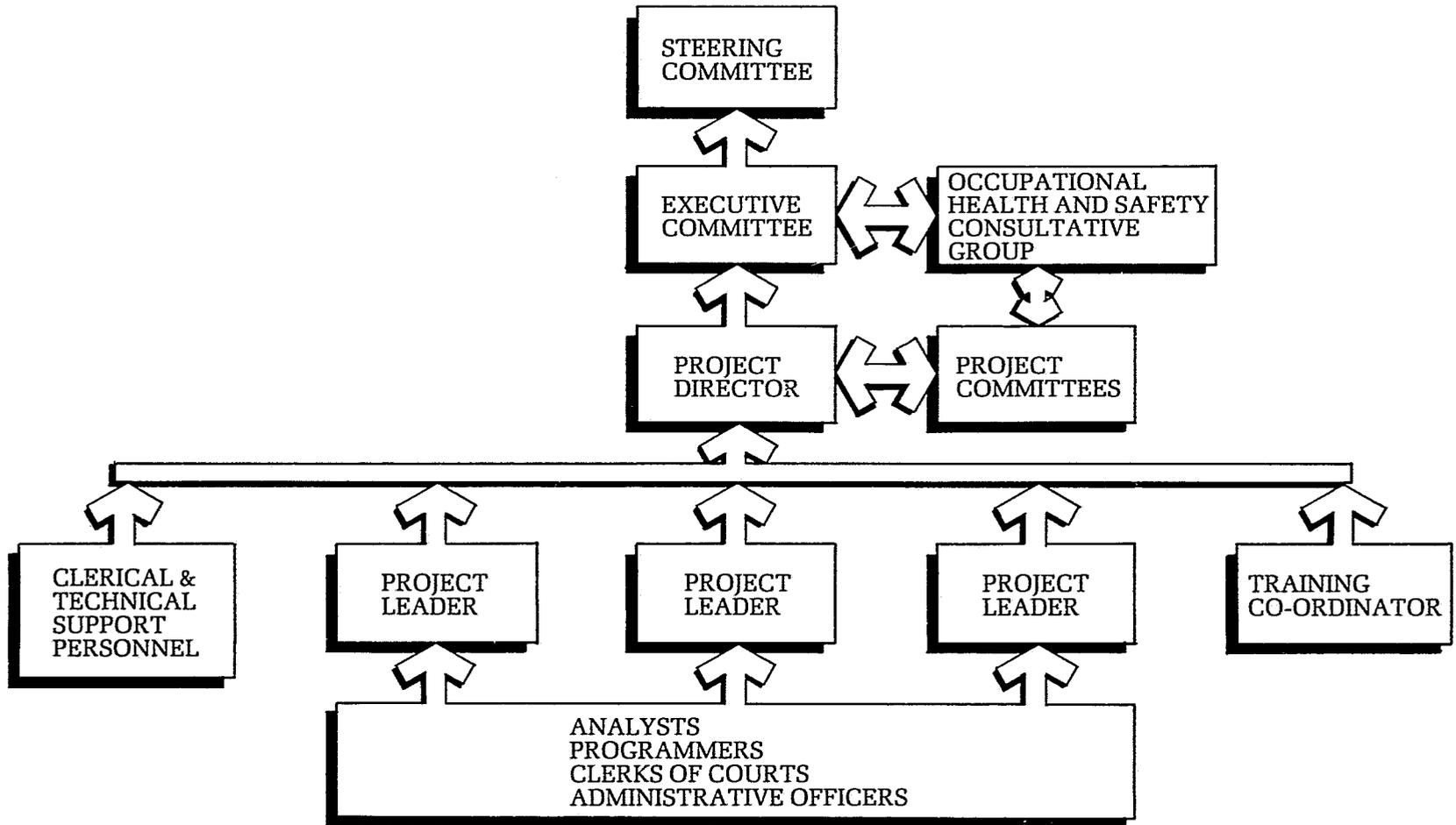
## 7.3 ON-GOING SYSTEMS SUPPORT

As the systems are implemented within the various jurisdictions it will be important to have a senior administrative person in that jurisdiction with responsibility for the systems. These persons would initially be involved in the implementation of the systems as full-time project team members. After implementation they would be responsible for monitoring the system, following up on problems, and co-ordinating any requested enhancements.

The recommended strategy is to appoint one person with administrative responsibility for systems in the superior courts jurisdiction and one person in the magistrates' courts jurisdiction. These appointments should be made once Stage 1 of both the Supreme and County Court and Magistrates' Court Case Management Systems have been implemented.

# Proposed Implementation Project Organization Structure

Exhibit 7.1



# Estimated Resource Requirements (using a 4GL for development)

Resource Description	Elapsed Months																																											
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41			
<b>Development Personnel</b>																																												
* Project Director	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		
* Project Leader	1	2	3	2	4	5	5	4	4	4	4	4	3	3	4	4	4	3	3	3	5	5	4	3	2	2	2	1	1	2	2	2	2	2	2	2	2	2	2	2	1	1		
* Analyst/Programmer	4	6	7	3	7	7	8	7	7	7	7	8	7	7	9	9	9	6	7	7	8	7	6	5	3	3	4	2	2	3	3	3	4	4	4	4	3	3	3	3	1	1		
* Programmer	1	2	2	1	3	2	3	4	5	7	6	6	6	6	6	7	7	3	6	6	8	8	6	5	3	3	3	2	2	2	3	4	3	2	3	3	4	4	3	2	1			
<b>Technical Support</b>																																												
* Data Base Administrator	0	0	0	0	0	0	0	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		
* Communications	0	0	0	0	0	0	0	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
* Systems Programmer	0	0	0	0	0	0	0	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
<b>Users</b>																																												
* Clerk of Courts/Admin. Officer	2	3	3	1	4	3	3	3	3	3	3	4	5	5	7	7	7	4	4	4	7	7	6	5	3	3	3	2	2	3	3	3	3	3	3	3	3	3	3	3	1	1		
* Profession	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
* Auditor	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
* Librarian	0	0	0	0	0	1	1	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
* Training Co-ordinator	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
* Training Assistant	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
* Toxicologist	0	0	0	0	0	0	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
* Pathologist	0	0	0	0	0	0	0	0	0	0	0	1	1	1	1	1	1	1	1	1	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total People by Month</b>	9	14	16	8	19	19	22	24	25	26	25	27	26	29	35	36	36	25	29	29	37	36	30	26	18	18	19	14	14	18	19	20	21	20	21	20	21	21	20	13	12			
<b>Information Systems Branch Staff</b>	4	6	7	5	9	8	9	9	9	9	9	8	8	8	9	9	9	8	8	8	9	9	9	8	7	7	7	5	5	5	7	7	7	7	6	7	7	7	7	4	3			
<b>External Consultants</b>	3	5	6	2	6	7	8	7	8	10	9	10	9	9	12	15	16	5	9	9	13	13	8	6	2	2	3	1	1	2	2	3	3	3	3	3	2	3	3	2	1	1		

## Estimated Resource Requirements (using a 4GL for development)

The estimated resource requirement totals have been rounded up to the nearest full time person. Even though the rounded total shows one full person, in reality the person may only be required 3 days per week.

The resource requirements shown represent the developmental requirements for all projects. As development will be completed by the end of the forty-first month, there is no need to extend the schedule any further.

# 8. ECONOMIC ANALYSES

## 8.1 INTRODUCTION

The proposed implementation schedule (Exhibit 6.1) lists the major projects which must be successfully completed to implement the Courts' systems.

The estimated costs and benefits associated with this implementation schedule are summarised in this section of the Plan.

It should be noted that it is not possible to prepare completely accurate economic projections for the new systems as part of this planning project. The approximations which have been included in the Plan are based on currently available information and the experience of project team members and others in installing similar systems. Independent estimates of the installation effort were also prepared and compared to the approximations. More reliable projections of the costs and benefits associated with each project will be prepared when the tender evaluations have been completed and the specific features of each system have been designed.

## 8.2 BENEFITS

The proposed computer systems will provide significant benefits to all personnel and external agencies involved in the business, operations and administration of the Courts. Some of these benefits are tangible as they will directly effect costs and revenues. Others are intangible as their achievement will result in benefits which are not quantifiable such as improvements in the quality of justice or greater commercial opportunities for the State of Victoria.

The following paragraphs discuss the tangible and intangible benefits which the new systems will provide.

### 8.2.1 TANGIBLE BENEFITS

*Operational Resource Savings*—The computerised court systems will automate a substantial number of existing manual and clerical procedures. The reduced clerical effort will improve productivity and allow resources to be redeployed to those areas of community need which the courts are currently failing to address. These needs include a visiting service by Clerks of Courts to locations in rural Victoria not previously serviced. They will also be redeployed into areas such as providing support to judges, magistrates and the regional managers.

The cost/benefit analysis demonstrates that savings of \$19.5m. can be achieved in the first seven years of operation of the new systems.

*Savings on Preprinted Stationery*—Savings estimated at \$1,330,000 in the first Seven years of operation can be achieved as a result of a substantial reduction in the number of registers and court forms used and/or kept in stock.

Every court house in Victoria maintains large quantities of preprinted forms, often running into tens of thousands. A simple legislative amendment can

render these forms obsolete. A minimum delay of six months follows before new forms can be designed and printed in sufficient numbers. Sometimes the new forms are made obsolete by further legislative amendments before stocks have reached courts.

The present manual systems require that many forms be prepared when in fact they are not used. For example, a commitment warrant is prepared at the same time as a Notice of Penalty. However, if the fine is paid the warrant is destroyed.

The case management system will store case related data electronically thus eliminating the need for manually prepared court registers. The system will also maintain proformas of all forms. If an amendment or new form becomes necessary details will be entered into the system once and the new or amended form will be immediately available. The system will produce only those forms required and at the time they are required.

Savings will accrue from the elimination of court registers, a reduction in the usage of forms, the elimination of the obsolescence factor and the elimination of large stocks of preprinted forms.

*Savings Derived from the Elimination of Duty Stamps for the Payment of Court Fees*—The case management system will automate the billing of fees and charges to the legal profession and other court users. All fees will be paid in cash, cheque or by electronic funds transfer. The system will provide direct benefits by eliminating the need for payment of commission to the Australian Government on the sale of duty stamps. Savings estimated at \$2,365,000 in the first seven years of operation or \$473,000 in a full year can be achieved as a result of the implementation of direct fee billing.

*Increased Fine Recovery Rate*—Uncollected fines are increasing at the rate of \$2.3m. per annum, largely due to the lack of timely and accurate information. The case management systems will electronically provide information to the Police and RTA systems to update warrant records with the most recent address and other particulars of offenders. Revenue from the increased rate of collection of fines is estimated to be \$600,000 per annum or \$3,600,000 in the first seven years of operation.

*Elimination of the Need for Additional Resources to Comply with the Requirements of the Annual Reporting Act*—The Annual Reporting Act requires amongst other things that all outstanding fines be recorded as debts of the court.

The limitations of the existing system prevents compliance with the requirements of the Act. This inability has resulted in the Auditor-General qualifying the financial reports of the Law Department in each of the two past years. It has been estimated that a minimum of five additional resources would be required to comply with the Act. The computerised court system will maintain a record of all outstanding fines thus eliminating the need for additional resources.

*Elimination of the Need for Additional Resources to Comply with the Requirements of the Penalties and Sentences Act*—Formerly two documents were required to enforce a monetary penalty. They were a Notice of Penalty and a Warrant of Commitment or Distress. With the introduction of the Act a number of new procedures have been incorporated into the enforcement process which require the preparation of up to twelve documents each using the same basic data. On the best information available it is estimated that the effort required in the production of forms has doubled.

The case management system will automate the production of forms and minimise the effort required to schedule the hearings of applications for instalment orders and the examination of defaulters.

*Improved Management Information*—The computerised systems will provide improved information for the operational management and business of the courts. By improving case flow management, magisterial sitting time

could be increased from 3.3 hours per day to an optimum 4 hours per day. This additional sitting time equates to an additional fourteen magistrates. On present salaries and overheads this represents a potential full year saving of \$1,131,000.

Information will also be provided to enable management to focus on those expenditure items for which they are accountable. Information such as increased numbers of particular types of actions within jurisdictions and the increase or decrease in time in bringing different types of actions to trial will form the basis of exception reports. This information will enable those responsible for judicial administration to take timely, corrective action.

## INCREASED REVENUE

Considerable revenue, calculated to be \$63,000 per annum is generated by the sale of information relating to judgment debtors to mercantile or credit agencies. Because the files are searched by personnel from these agencies unsupervised by court staff it is not possible to accurately levy charges.

The new system will allow computerised searches and will bill the agencies accordingly. It will also permit searches to be made in Magistrates' Courts which has not been previously possible. It is estimated that revenue from searches could increase by up to 100%.

## 8.2.2 INTANGIBLE BENEFITS

*Planning and Utilisation of Court Resources*—Systems which closely monitor cases throughout the judicial process, provide automatic notification to interested parties of critical events and provide statistical reports of trends in case load, case type, and duration will provide for better utilisation of court resources.

Benefits will accrue to the Government in having better information to make decisions concerning increases in the number of judges, magistrates and court facilities. The use of computer forecasting techniques will permit assessment of the likely effect of changes to the jurisdictional limits of the courts and the selection of the best of several proposals.

New systems will also enable the financial effect of changes to court service fees to be assessed.

*Greater Control over Criminal Matters*—The proposed new systems will communicate directly with the police systems so that arrest details will be recorded on the court system at the time of arrest and summonses at the time of issue. All informations issued by the police will be issued by entry in the courts system.

The electronic integration of these systems will result in every criminal matter being placed effectively under the control of the Courts from inception, thus giving greater force to the preservation of liberty of subjects.

*Reduced Duplication of Data*—The integration of court filing and administration systems, combined with the electronic transfer of data between them and external agencies will reduce the current duplication of data. Indirect benefits will be achieved from a reduction in the delay, and the number of errors which occur in re-processing data.

*Expanded Business for the Courts*—The availability of facilities for electronic document filing and electronic access to case documentation within professional offices and court locations may attract more business to the courts. Simple access to these facilities by local, interstate and international practitioners will encourage the increased use of the judicial system for the resolution of disputes and enhance the prospects of Victoria becoming recognised as a specialist in certain areas, such as maritime law.

This will result in the State obtaining direct benefits from increased gross fees and indirect benefits from the consequential development of trade and commerce.

*Improved Productivity of Judiciary and Magistracy*—The provision of judicial support facilities, including:

- word processing;
- access to transcripts by plaintiff, defendant, ruling, witness, exhibit, key word etc.;
- access to model judgments, jury charges, and
- access to statutes (current and revised), precedents, case law etc.

will enhance the productivity of judges and magistrates and reduce the incidence of error. Neither of these benefits will be quantifiable.

White collar crime has increased dramatically resulting in longer and more complex hearings. Both committal and trial hearings can occupy several months and involve the production of thousands of pages of transcript and hundreds of exhibits. The judicial support system will increase productivity allowing judges and magistrates to quickly search transcripts.

## ASSUMPTIONS

The assumptions which have been used to calculate the benefits are:

### Operational Resource Savings

- One year equals 220 man days
- Average salaries have been calculated at \$25,000 per annum with a 50% overhead loading.
- Courts Administration personnel work 7.5 hours per day
- Present workload volumes within each jurisdiction will remain static over the next five years.
- The man days saved as a result of computerisation will be effectively redeployed into areas of community benefit thus constituting a saving.
- The effort required for the listing function in the Supreme Court is the same as for the County Court.
- Information as to volumes by function in the Supreme Court and County Court was not readily available. Interviews were conducted with relevant personnel to ascertain the best estimate of volumes and time taken to complete activities.

### Savings on Pre-Printed Stationery

- 75% of the overall expenditure on stationery and forms in the Magistrates' Courts relates to court forms.
- 25% of the overall expenditure on stationery and forms in the Supreme Court and County Court relates to court forms.
- The unit cost of a computer generated form is 5 cents.
- The average cost per form in the Supreme Court and County Court is the same as for the Magistrates' Court.
- Cash books and receipt books were not included in the savings. The best estimate of annual expenditure on these items is \$30,000.

## Savings derived from the elimination of duty stamps for the payment of court fees

- 80% of the total value of duty stamps used for the payment of court fees and charges is purchased from Australia Post.
- The commission paid to Australia Post is 4% of the value of a stamp.

## Increased fine recovery rates

- The recovery rate in the collection of fines will increase by 20%.

## Elimination of the need for additional resources to comply with the requirements of the Annual Reporting Act

- An estimated five people would be required to perform this function if it is not automated.

## 8.2.3 BENEFITS TO THE STATE

### Police

*Reduction of Police Time at Courts*—The implementation of the mention court system has resulted in a huge reduction in the time police spend attending court. The computerised court system will allow the mention court system to be expanded to cover all police prosecutions resulting in even greater savings to the police.

*Reduction in Clerical Effort Required to Record Results of Police Prosecutions*—The electronic transfer of results of police prosecutions will significantly reduce the clerical effort required to complete offenders' files. Other benefits such as improved accuracy and more timely updating of records will be achieved.

*Significant Improvement in Access to Case Data*—The electronic filing of process by the police will provide simpler and more timely access to it. The provision of terminal facilities in police stations will reduce the effort required to access case data and provide more comprehensive information. For example, as details of a summons are entered the system will display details of any other pending court appearances by the defendant.

*More Effectively Plan Court Appearances*—The computerised listing system will enhance the operation of the mention court system and give greater flexibility to the police to plan court appearances whilst at the same time giving the court greater control over its lists. Police will spend less time waiting at court.

*Significant Reduction in the Cost of Executing Court Process*—The electronic filing and transfer of case data will provide police with more timely and accurate information when executing warrants for the payment of fines.

### Road Traffic Authority

*Reduction in Clerical Effort Required to Record Results of Prosecutions for Traffic and Motor Car Offences*—The electronic transfer of results of traffic and motor car prosecutions will significantly reduce the clerical effort required to maintain RTA records. Other benefits such as improved accuracy and more timely receipt of information will accrue.

*Significant Improvement in Access to Case Data*—The electronic filing of process by the RTA will provide simpler and more timely access to it. The provision of terminals in RTA offices will reduce the effort required to access case data.

*More Effectively Plan Court Appearances*—The computerised listing system will allow the mention court system to expand to include RTA prosecutions. The major benefit accruing to the RTA will be advanced knowledge of possible hearing dates and a reduction in the man hours spent waiting at court.

### State Insurance Office

Pre-trial conferences introduced in the Supreme Court and County Court in 1984 have resulted in a claimed (by the State Insurance Office) \$36m. saving. The computerised case listing system will enhance pre-trial conferences by accurately identifying those cases suitable for pre-trial conferences and will result in greater savings.

## 8.2.4 BENEFITS TO THE LEGAL PROFESSION

It is expected that a number of benefits will accrue to members of the legal profession. Whilst the majority of the benefits will result in direct operational cost savings they are not quantifiable. The benefits include:

*Reduced Effort Required to File Process Documents and Access Case Data*—The electronic filing of process will significantly reduce the effort required to file process at court registries. After the document is prepared on equipment within the solicitors office it will be passed electronically to the court registry. Practitioners will be able to electronically search case files at any time.

*More Effective Management of Cases*—Practitioners will be able to observe all transactions occurring within a particular case including listing details and will be able to plan their work accordingly.

*Reduced Cost of Legal Stationery*—The computerised court system will enable process documents to be printed on computer forms. The need for practitioners to carry large stocks of pre-printed forms will be minimised.

*Reduction in the Value of Duty Stamps Required to be Kept on Hand*—The computerised court system will bill practitioners as process is filed with the courts. Fees will be payable by cash, cheque or electronic funds transfer.

In addition to the direct benefits listed above, solicitors who have equipment installed capable of communicating with the courts system will be able to access other databases such as CLIRS, the Titles Office, Corporate Affairs Office and other commercial databases. The potential to implement legal office practice management systems on the same hardware will also be available.

Exhibit 8.1 summarises the estimated tangible benefits to be derived from the new systems during the first seven years of operations.

## 8.3 COSTS

The estimated systems costs over the next seven years are detailed in Exhibit 8.2. In approximating these costs, a realistic attempt has been made to include the likely impact of the proposed implementation schedule. The major cost items are:

### (a) CAPITAL COSTS

#### (i) Hardware

Hardware costs include central processing units, disk controllers, disk drives, tape controllers, tape drives, printer controllers, printers, volume printers,

communication controllers, communication processors, operator consoles, image processing equipment (e.g. scanners), terminals and micro computers. The estimated cost of the hardware is \$7.77 million over seven years.

*(ii) System Software*

Included in the system software costs are the operating system, utilities (e.g. editors), data base management system, transaction processing monitor and text retrieval software. Over seven years the system software costs are estimated to be \$78,000.

*(iii) Licenced Application Software*

If licenced application software such as DOCKETRAC is purchased instead of custom developing the courts applications, the estimated cost over seven years is \$323,000.

*(iv) Site Works*

The cost of constructing a suitable site is estimated to be \$950,000. This cost includes raised flooring, false ceiling, lighting, partitioning, air conditioning, fire protection systems, security access control systems, uninterrupted power supply, paper store, power supply, switchboard, builders rise and fall, site allowances, builders variations, extensions of time costs etc.

*(v) Cabling*

Cabling costs are estimated to be \$300,000. This cost is for cabling court houses throughout Victoria.

Over the first seven years, capital costs for hardware, system software, licenced application software, site works and cabling amount to \$9.421 million.

## **(b) SOFTWARE DEVELOPMENT**

Software development costs are the costs of the resources required to develop the application systems required.

*(i) Internal Staff—EDP*

The cost of using internal staff from the Information Systems Branch is estimated to be \$1.7 million over seven years.

*(ii) Internal Staff—Other*

The cost of using internal staff such as Clerks of Court, Administration Officers etc. is estimated to be \$1.45 million over seven years. This cost does not include other user department resources such as toxicologists, pathologists etc.

*(iii) External Staff*

In order to meet peak demands for systems development resources external consultants will need to be engaged. The estimated cost of using external staff is estimated at \$2.346 million.

The total cost of software development will be approximately \$5.507 million over a seven year period.

## **(c) OPERATING COSTS**

*(i) Site Rentals*

The rent for central business district floor space is currently (in 1985) \$20 a square foot per annum. To rent floor space for the computer site over seven years at 1985 charges will be \$651,000.

*(ii) Site Maintenance*

Site maintenance costs over seven years are estimated to be \$741,000. These costs include contract cleaners for cleaning the computer room floor,

maintenance personnel for maintaining the air conditioning systems, fire protection systems, security systems, lighting, switch board etc.

*(iii) Communications*

Communications costs are the costs associated with providing a communications link between the courts and the central computer site. The cost is estimated to be \$3.7 million over a seven year period. Items included in this amount are line access annual rental and installation fees, transmission charges, modem annual rental and installation fees etc.

*(iv) Operations Staff*

To operate the central computer an operations staff consisting of a system programmer, an operations supervisor and four operators is estimated to be required. The total cost of these staff over seven years is \$1.29 million. It has been assumed that the central computer site will be used for other Law Department computers such as Corporate Affairs, Sheriff's etc. This cost is estimated to be the direct operations costs attributable to providing dedicated operations support to the Courts computer systems at the central computer site.

*(v) Ongoing Training*

A team consisting of a Clerk of Courts and three analysts will be required to train all users in how to use the systems. The cost of this training team is estimated to be \$1 million over seven years.

*(vi) Hardware Maintenance*

The cost associated with maintaining all the computer hardware is approximately ten per cent of the initial hardware costs. Over seven years the estimated cost is \$4.5 million.

*(vii) System Software Maintenance*

To maintain existing system software will cost an estimated \$1.6 million over seven years.

*(viii) Package Software Maintenance*

Package software carries a charge, payable on a monthly basis for use of the package. The monthly maintenance on a package such as DOCKETRAC is \$4,000. Over seven years this maintenance cost amounts to \$291,000.

The total estimated operating costs amounts to \$11.2 million over a seven year period.

The overall cost to the Law Department over seven years for capital, software development and operating costs amounts to an estimated \$26.160 million dollars. Of this, capital costs represent 36% of the total expenditure, software development represents 21% and operating costs represents 45%.

## 8.4 COST/BENEFIT SUMMARY

Exhibit 8.3 summarises the costs and benefits associated with the implementation schedule. It indicates that based on the approximations and assumptions a positive cash flow will be achieved within year 3 and the pay back period required for the recovery of the one time equipment and software development costs is seven years.

In addition to the tangible benefits to be achieved from the implementation of the new systems there are significant intangible benefits to be obtained which will enable the Courts to achieve their key objectives of providing court services efficiently and effectively to the community.

## Schedule of Benefits

Exhibit 8.1

	<i>Annual Benefit (\$ 000)</i>							<i>Cumu- lative Total</i>
	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>	<i>Year 4</i>	<i>Year 5</i>	<i>Year 6</i>	<i>Year 7</i>	
Direct Benefits								
Reduction in Operational Resources		1 572	2 792	3 746	3 746	3 746	3 746	19 348
Reduction in Pre-printed Stationery		0	266	266	266	266	266	1 330
Reduction in Fee Commissions Paid			473	473	473	473	473	2 365
Increased Fine Recovery Rates		600	600	600	600	600	600	3 600
<b>Total Direct Benefits</b>	<b>0</b>	<b>2 172</b>	<b>4 131</b>	<b>5 085</b>	<b>5 085</b>	<b>5 085</b>	<b>5 085</b>	<b>26 643</b>
Indirect Benefits								
Improved Management Information			1 131	1 131	1 131	1 131	1 131	5 655
<b>Total Indirect Benefits</b>	<b>0</b>	<b>0</b>	<b>1 131</b>	<b>5 655</b>				
<b>Total Estimated Benefits</b>	<b>0</b>	<b>2 172</b>	<b>5 262</b>	<b>6 216</b>	<b>6 216</b>	<b>6 216</b>	<b>6 216</b>	<b>32 298</b>

# Schedule of Costs

Exhibit 8.2

Costs	Annual Cost (\$ 000)							Cumulative Total
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	
<b>A. Capital Costs</b>								
(i) Hardware Costs	2 211	4 269	994	237	59			7 770
(ii) System Software	78							78
(iii) Licensed Application Software	323							323
(iv) Site Works	950							950
(v) Cabling Costs	35	126	91	28	19			299
<b>Total Capital Costs</b>	<b>3 597</b>	<b>4 395</b>	<b>1 085</b>	<b>265</b>	<b>78</b>	<b>0</b>	<b>0</b>	<b>9 420</b>
<b>B. Software Development</b>								
(i) Internal Staff—DP	456	590	483	182	0	0	0	1 711
(ii) Internal Staff—Other	112	369	274	200	165	165	165	1 450
(iii) External Staff	818	1 065	328	135	0	0	0	2 346
<b>Total Development Costs</b>	<b>1 386</b>	<b>2 024</b>	<b>1 085</b>	<b>517</b>	<b>165</b>	<b>165</b>	<b>165</b>	<b>5 507</b>
<b>C. Operating Costs</b>								
(i) Site Rentals	93	93	93	93	93	93	93	651
(ii) Site Maintenance		124	124	124	124	124	124	741
(iii) Communication Costs		542	625	645	650	650	650	3 762
(iv) Operations Staff		215	215	215	215	215	215	1 290
(v) Ongoing Training		169	169	169	169	169	169	1 014
(vi) Hardware Maintenance		648	747	771	777	777	777	4 497
(vii) System Software Maintenance		258	258	258	258	258	258	1 548
(viii) Package Software Maintenance		48	48	48	48	48	48	291
<b>Total Operating Costs</b>	<b>93</b>	<b>2 097</b>	<b>2 279</b>	<b>2 323</b>	<b>2 334</b>	<b>2 334</b>	<b>2 334</b>	<b>13 794</b>
<b>Total Costs</b>	<b>5 076</b>	<b>8 516</b>	<b>4 449</b>	<b>3 105</b>	<b>2 577</b>	<b>2 499</b>	<b>2 499</b>	<b>28 721</b>

## Summary Cost/Benefit Analysis

Exhibit 8.3

Cost/Benefit Component	Annual Cost/Benefit (\$ 000)							Cumulative Total
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	
<b>Costs</b>								
Capital Costs	3 597	4 395	1 085	265	78	0	0	9 420
Software Development Costs	1 386	2 024	1 085	517	165	165	165	5 507
Operating Costs	93	2 097	2 279	2 323	2 334	2 334	2 334	13 795
<b>Total Annual Costs</b>	<b>5 076</b>	<b>8 516</b>	<b>4 449</b>	<b>3 105</b>	<b>2 577</b>	<b>2 499</b>	<b>2 499</b>	<b>28 722</b>
<b>Cumulative Costs</b>	<b>5 076</b>	<b>13 592</b>	<b>18 041</b>	<b>21 146</b>	<b>23 723</b>	<b>26 222</b>	<b>28 721</b>	<b>28 721</b>
<b>Benefits</b>								
Direct Benefits	0	2 172	4 131	5 085	5 085	5 085	5 085	26 643
Indirect Benefits	0	0	1 131	1 131	1 131	1 131	1 131	5 655
<b>Total Annual Benefits</b>	<b>0</b>	<b>2 172</b>	<b>5 262</b>	<b>6 216</b>	<b>6 216</b>	<b>6 216</b>	<b>6 216</b>	<b>32 298</b>
<b>Cumulative Benefits</b>	<b>0</b>	<b>2 172</b>	<b>7 434</b>	<b>13 650</b>	<b>19 866</b>	<b>26 082</b>	<b>32 298</b>	<b>32 298</b>
<b>Net (Cost)/Benefit</b>								
<b>Annual</b>	<b>(5 076)</b>	<b>(6 344)</b>	<b>813</b>	<b>3 111</b>	<b>3 639</b>	<b>3 717</b>	<b>3 717</b>	<b>3 575</b>
<b>Cumulative</b>	<b>(5 076)</b>	<b>(11 420)</b>	<b>(10 609)</b>	<b>(7 498)</b>	<b>(3 859)</b>	<b>(142)</b>	<b>3 575</b>	<b>3 575</b>

# APPENDIX 1

## Steering Committee Membership

The Honourable Sir John McL. Young, K.C.M.G., Chief Justice of Victoria  
The Honourable Mr. Justice Murphy  
The Honourable Mr. Justice Nicholson  
His Honour Judge Waldron, Chief Judge  
His Honour Judge Rowlands  
Mr. J. Dugan Deputy Chief Stipendiary Magistrate  
Mr. B. Clothier, Stipendiary Magistrate (Nominee of the Chief Stipendiary Magistrate)  
Mr. M. Dowling, Q.C., Bar Council  
Mr. B. Carmody, Law Institute of Victoria  
Mr. C. McMillan, Mallesons  
Mr. D. Meagher, Q.C.  
Mr. V. Stafford, Prothonotary  
Mr. B. Docking, Registrar  
Mr. G. Brooks, Director of Court Services

# APPENDIX 2

## Project Team

### Arthur Andersen & Co.—Consultants

Mr. John Craven  
Mr. Martin Ralston  
Mr. Arthur Naoumidis  
Mr. David Mileikowski  
Mr. Jed Simms

### Courts Division Staff

Mr. Lance Martin  
Mr. Nicholas Day

### Information Systems Branch Staff

Mr. Neil Earey  
Ms. Meg Stuart

# APPENDIX 3

## Project Descriptions

The following project descriptions describe the way in which the identified systems will operate. They have been written by members of the project team from material collected during the interview process and address the requirements and problems identified.

The descriptions have been structured in the following format:

1. System Title—name of the proposed system.
2. System Scope—a description of the primary functions the system addresses. It will provide the reader with a conceptual view of how the system will operate.
3. Information and Systems Requirements Addressed—A description of the specific requirements the system addresses. A summary of requirements was extracted from the interview and analyses task and this section outlines which of these requirements are specifically addressed.
4. Interface Requirements—A description of the interfaces required to be built to provide for information exchange between this system and other Courts Division and Law Department systems and external agency systems.
5. Prerequisites—A description of all actions that must take place before this project can be commenced.
6. Implementation Approach—A recommended approach to implementing the system, in particular outlining the proposed stages of implementation.
7. Benefits—The tangible and intangible benefits the courts will realise as a result of the project.
8. Development Approach and Resource Requirements—An outline of the approach to be taken, (custom developed versus an application package approach), and the estimated resources required to design and implement the system. This is broken down by stage, phase and skill levels.

ATTACHMENTS—Any supporting diagrams and tables.

The resource estimates have been arrived at by drawing on the experience of the project team and verifying these estimates using the Arthur Andersen & Co. estimating software package ESTIMATE/1.

The following project descriptions are included:

- 3.1 Establish Computing Environment
- 3.2 Supreme and County Court Case Management System
- 3.3 Magistrates' Court Case Management System
- 3.4 Cash Management System
- 3.5 Supreme and County Court Case Listing System
- 3.6 Jury Management Systems

- 3.7 Library Systems
- 3.8 Judicial Support Systems
- 3.9 Tribunal Case Management System
- 3.10 Coroner's Case Management System
- 3.11 Drug Identification Register System
- 3.12 Financial Reporting System
- 3.13 Personnel Management System

# APPENDIX 3.1

## Project Description

### 1. Project Title

Establish Computing Environment

### 2. Project Scope

This project includes all tasks which must be completed to install a mainframe computer facility.

The tasks are:

(a) Finalise design of proposed communications network.

During this task, the strategies developed by the Information Systems Planning project team will be used to design the communications network.

(b) Prepare and evaluate tender(s) for computer hardware, systems software, development facilities, communications network and external consultants.

During this task, tender documents will be prepared detailing the courts requirements and the tender evaluation criteria. Information used to prepare this document will include:

- Strategies developed during the Information Systems Planning project;
- The proposed communications network developed in task (a);
- The detailed project descriptions developed during the Information Systems Planning project;
- The system implementation schedule developed during the Information Systems Planning project, and
- Documentation prepared during the Case Management Preliminary Design projects.

Responses to the Expression of Interest distributed during the Information Systems Planning project will be used to establish a short list of suppliers that could potentially satisfy the court requirements.

To meet the implementation schedule, it will be necessary to supplement Information Systems Branch personnel with external consultants to meet peak requirements. A tender document will need to be prepared documenting the tasks for which consultants will be required.

(c) Recruit personnel.

A recruiting campaign will be completed to recruit appropriate Information Systems Branch personnel.

(d) Design and construct the computer site.

A computer site is required for the Courts computers, communications

equipment and support personnel. It is anticipated that this site will also house other Law Department computers. Resources will be required to plan and supervise the construction of this facility.

(e) Commence implementation of network.

During this task, arrangements will be finalized with Telecom, and possibly with third party network providers, to establish the communications network required to support the court systems.

(f) Install computer equipment

This task will involve the installation of computers, peripheral devices, terminals, printers and communications equipment at the central site.

(g) Install the systems and development software.

This task will involve the installation of the following components:

- Operating system and utilities;
- Computers and fourth generation languages;
- Development Workbenches;
- Data Dictionary;
- Data Base Management software, and
- Communications Software.

### 3. Project Approach

This project will be completed in two stages:

#### *Stage 1: Tender Preparation/Evaluation*

This stage will include the following tasks:

- Task (a), Finalise, design of proposed communications environment;
- Task (b), Preparation of tenders and evaluation of responses, and
- Task (c), Recruit personnel and prepare tender for external consultants.

#### *Stage 2: Establishment of the computing environment*

This stage will include the following tasks:

- Task (d), Design of the central processing facility;
- Task (e), Commence implementation of network;
- Task (f), Install computer equipment, and
- Task (g), Install all systems and development software.

### 4. Resource Requirements

#### *Stage 1*

Tender Preparation/Evaluation

Duration—6 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
Project Leader	1	full Time
Analyst/Programmers	2	full Time

*Stage 2*

Establishment of computing environment Duration—3 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
Operation Manager	1	part Time
Communications Expert	1	full Time
Database Administrator	1	full Time
Systems Programmers	1	full Time
Building Services	1	part Time

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# APPENDIX 3.2

## Project Description

### 1. System Title

Supreme and County Courts Case Management System

### 2. System Scope

This project involves the implementation of a case management system which will address the case processing requirements of the Supreme and County Court jurisdictions, including the country circuit courts and the Probate Office. The system will provide the Supreme and County Courts with the following facilities:

- (a) computerised case initiation which will support the issue of process for all proceedings, both civil and criminal;
- (b) electronic recording of all subsequent case process;
- (c) direct entry of court generated information, such as orders and judgments, against a case;
- (d) electronic recording of all major events or changes in case status;
- (e) assistance in taxing bills of cost;
- (f) electronic recording of all monies paid into or out of court in relation to a case, and
- (g) electronic enquiry for case details and court procedural requirements.

The system will provide the Probate Office with the following facilities:

- (a) computerised receipting and processing of applications under the Administration and Probate Act;
- (b) electronic recording of caveats and other probate documents lodged;
- (c) electronic recording of all major events and changes in the status of applications;
- (d) the ability to link the probate application to the Case Management System where court proceedings are subsequently taken;
- (e) electronic recording of all fees paid and to interface with the Cash Management System;
- (f) electronic enquiry for applications and procedural requirements, and
- (g) image processing equipment to record a copy of the Will.

### *CIVIL CASE MANAGEMENT*

The system will be based on the concept of the profession filing case process using terminal equipment located in their offices. The legal practitioner, (or

his clerk), will connect to the Courts computer system via a third party dial-up network. The practitioner will be authorised to use the system once valid password, user identification and case identification data have been entered into the system. Any attempt to gain access to the system without the use of a valid user identification or password will be reported.

Once access has been authorised the practitioner will be presented with a selection or menu of options. He will select the type of process he wishes to prepare. The system will then respond with appropriate instructions and data entry screens required to prepare the process. The practitioner will then enter the details required. Once the data has been entered and checked by the practitioner it will be transmitted to the Courts computer for validation and storage. The system will then enable a copy of the process to be printed in the practitioner's office.

Process which needs to be issued by an officer of the court will be prepared and transmitted in the same manner. The appropriate officer will check the process for compliance with the rules and then release it into the system. An authorisation code or number will be assigned to the process to evidence the act of issuing. This code or number will be included on the printed copy.

The system will then automatically bill the practitioner based on a scale of charges built into the system. Those firms who do not have terminal equipment installed in their offices will be able to file process using terminals located within the courts. There will be an additional charge for the use of court terminals.

This approach to filing case process will enable the courts to store all case details electronically. There will be minimal use for physical case files except for exhibits and during the conduct of the actual trial. The system will store the complete contents of the documents which may consist of both text and structured data e.g. a Writ of Summons would consist of structured data (case details such as names, addresses, etc.) whilst the Statement of Claim would be text. At any stage in the case, the system will be able to print hard copies of extracts, summaries or complete case files. All information will be available for on-line enquiry by the profession and court staff however it is anticipated that the complete case file will be printed for use by the judge and legal practitioners at the trial. On-line access, of course, will be subject to strict security authorisation e.g. whilst a practitioner will be able to electronically search all case files he will only be able to add data to those cases in which he acts for one or more of the parties.

The system will be controlled by a procedures reference file which will ensure that all rules for filing process have been complied with. This reference file will also facilitate the automatic preparation of exception reports and if required, reminder notices.

The system will interface to the listing and cash management systems. The listing system will access case details and update case scheduling data stored in the case file. Similarly the case management system will record all monies paid into or out of court in relation to a case. This will include fees based on either a scale of charges or a composite fee. The cash management system will then access this data to create general ledger transactions and financial management data.

As the cases progress through the system the courts staff will enter details of all orders, judgments and enforcement proceedings. A copy of the transcript, if produced, will also be accessible via the case title. The transcripts will have text retrieval facilities and be capable of cross referencing to exhibits, witnesses, plaintiffs, defendants and to judges' notes and time of the day the evidence is given.

Exhibits and any other documents requiring a signature will be optically scanned and an image of the document stored electronically by the courts. When required a complete case file can be printed including these images.

The system will assist the Taxing Master and the County Court Registrar to tax bills of costs. Practitioners will enter their bills of costs into the system enabling the Taxing Master or Registrar to verify all items against a schedule stored in the system.

#### *CRIMINAL CASE MANAGEMENT*

Criminal cases will be electronically transferred from the Magistrates' Case Management System as the result of an appeal or a committal hearing. The Criminal Trial Listing Directorate (CTLD) will maintain Criminal Case details. Data, including details of Presentments will be captured from the Director of Public Prosecutions to update the court file. The CTLD will create new case files in the event of direct Presentments being lodged by the Director of Public Prosecutions.

Unlike the civil cases, most of the information stored for a criminal case is structured (field orientated rather than text) with few associated documents. The case will be linked to the transcript stored on the text retrieval system for on-line enquiry.

At the completion of the trial the result will be entered by the Associate and all enforcement orders and notices will be produced by the system. Comparative sentencing statistics will be maintained by the system.

The Registrar of the County Court will maintain case details arising out of appeals from the Magistrates' Courts. As with criminal cases most of the information is structured.

At the completion of the hearing the result will be entered by the Associate and transferred to the Magistrates' Court Case Management system for enforcement proceedings to be taken.

#### *PROBATE OFFICE*

Probate applications will be lodged by the profession, electronically stored and processed as per civil cases. The system will bill the practitioner for the appropriate fees and charges. The grant of Probate will be recorded in the system and the practitioner will be required to deliver the Will to the Registrar of Probate where it will be sealed and recorded on the image processing equipment.

Where the Registrar refers a matter to the Court or the Registrar is required to produce a file to the Court the data will be transferred to the Case Management System to form a case file and follow the same process as other cases. Where appropriate the judgment of the court will be transferred back to the Probate file and stored.

### **3. Information and Systems Requirements Addressed**

The case management system will address the following information and systems requirements.

(a) Implementation of computer systems and revised procedures which:—

- eliminate the need to transcribe case data;
- eliminate manual registers;
- simplify the process of charging for court services;
- electronically file documents from the profession and outside agencies within the courts;
- provide case enquiry facilities, subject to strict security constraints, to all parties;
- electronically record and disseminate court orders, and
- monitor the court procedures and provide exception reporting whenever such procedures are not complied with.

- (b) implementation of computer systems and revised procedures which make efficient use of resources within the courts system by:
  - recording listing related case data, and
  - recording case/event data.
- (c) Provide integration of court and external agencies systems.
- (d) Provide timely and relevant information to support the effective operational management of the courts. This information will include statistical and exception reporting to enable early trend recognition.
- (e) Provide judicial support by allowing transcripts to be accessed and indexed by exhibit, witness, plaintiff, defendant, time of day the evidence is given, ruling and key word electronically.
- (f) Improve public access to courts by providing:
  - on-line access to case documentation by the public and the profession, subject to strict security guidelines, and
  - access to case documentation by all courts enabling payment to be made and received at all court locations.
- (g) Reduction of storage requirements for case documentation by electronically storing all case information. This will also enable files to be archived using modern techniques such as micro filming and image processing.
- (h) Minimise the number of forms by:
  - maintaining forms control in the computer system;
  - eliminating the need to keep stocks of pre-printed forms since the system will produce them, and
  - simplifying and standardising administrative procedures as a result of the introduction of computerised systems.

#### 4. Interface Requirements

Attachment 1 illustrates the users, interfaces, inputs and outputs to the Supreme and County Court Case Management System.

#### 5. Prerequisites:

Civil Cases:

To computerise civil case management in the Supreme and County Courts, the full support of the profession and the keen and active involvement of the judiciary and court staff is vital. An education program will be required to train users in the new facilities and procedures.

The court rules and legislation must also be amended to support the new system prior to it being implemented. The major changes required will be to allow court records and documents to be electronically filed and stored. There will also be a need to standardise procedures in the Supreme and County Courts where possible.

A communications network must be available to provide access to the system by the profession.

Criminal Cases:

As the bulk of the criminal cases originate in the Magistrates' Court either by way of an appeal or a committal, criminal case management can only be implemented once the Magistrates' Case Management System is in place for the Central Region. For full operation all Magistrates' regions should be in place. This will minimise the data entry workload at the C.T.L.D.

A computer to computer link between the courts and the police would also be desirable as would access to the system by the Director of Public Prosecutions.

## 6. Implementation Approach

The Case Management System is a major project with far reaching implications. Its implementation will therefore need to be staged to avoid excessive disruption to the Courts and to allow time for all personnel to adjust to the new system.

### *Stage 1*

This stage will address two areas. Firstly the improving of the filing system and secondly the design and implementation of a basic case management system.

The manual filing system will be replaced by an image processing system. As documents are lodged they will be electronically scanned and stored as an electronic file on optical disk storage or another mass storage device. This will provide some immediate relief to the Prothonotary and Registry. All new cases will be scanned—however existing cases will only be scanned once they are added to the list.

At the same time as civil case documents are being lodged, any case details necessary for the management of the case will be entered into the Case Management System. This will provide the majority of the case details required for case management. For criminal cases the CTLD and DPP will directly enter all necessary case details.

### *Stage 2*

This stage will consist of two additional aspects of the overall system. A project will be completed to examine all existing forms and court procedures which will be affected by the new systems. The aim of the project will be to standardise civil proceedings, where possible, between jurisdictions, and to identify the legislative and procedural changes required to support full electronic filing of documents by the profession.

Secondly a pilot project will be commenced to enable the profession to directly access the system. Selected firms will be chosen to pilot a case enquiry facility and the limited data entry of basic case details.

### *Stage 3*

This is the final stage of the Case Management System. The objective of this stage is to provide a system which records all case details including text. Image processing will only be used for exhibits and for documents where signatures are essential. The profession will be encouraged to issue case process from their office. However a central input facility will be established for those who choose not to connect to the system. The Probate Office systems will also be implemented during this stage.

## 7. Benefits:

The benefits accruing from the implementation of the Supreme and County Court case management system are:--

- (a) Considerable staff savings particularly in the Probate Office, Prothonotary's Office and the County Court Registry as a result of reduced physical filing and data transcription;
- (b) More effective case management with the availability of exception reporting, statistical reporting and on-line case enquiry;
- (c) Improved access to case data by all authorised persons;

- (d) More case information available to effectively plan and utilise court resources;
- (e) Enable the fee structure of cases to accurately reflect the progressive utilisation of court resources;
- (f) Reduced duplication and transcription of case details;
- (g) Reduced storage requirements for case files, and
- (h) Reduced incidence of lost files.

The implementation of the Supreme and County Court Case Management System will derive direct savings estimated to be \$306,000 in the first full year of operation.

## 8. Development Approach and Resource Requirements

The Supreme and County Court Case Management System will probably be custom developed using a fourth generation language (4GL). It may be necessary to write the high volume processing functions in another language such as cobol for performance reasons.

For Stage 1 however the requirements for the system to record basic case details may be satisfied by the DOCKETRAC package from INSLAW. To fully evaluate its suitability and to further define the Supreme and County Court Case Management System a Preliminary project will be completed. The resources required for all stages of development are as follows:

### *Preliminary Stage*

Project Definition Duration—3 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	2	full time
Court staff	2	full time

The estimated resource requirements for the other stages are as follows:

### *Stage 1*

Design Duration—6 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	4 days/week
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	2	full time
Supreme Court staff member	1	full time
County Court staff member	1	full time
Other resources		
—DPP representative		as required

Installation		Duration—7 months
<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	2 days/week
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	2	full time
Supreme Court staff members	1	full time
County Court staff members	1	full time
Other Resources		
—DPP representative		as required
<i>Stage 2</i>		
Design		Duration—5 months
<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	3.5 days/week
CSO-2 Analyst/Programmer	1	1 day/week
CSO-1 Programmer	1	2 days/week
Supreme Court staff member	1	full time
County Court staff member	1	full time
Other resources		
—DPP representative		as required
Installation		Duration—7 months
<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	1	2.5 days/week
CSO-1 Programmer	1	full time
Supreme Court staff members	1	full time
County Court staff members	1	full time
Other Resources		
—DPP representative		as required

Stage 3

Design

Duration—3 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	1	full time
Supreme Court staff member	1	full time
County Court staff member	1	full time
Profession	1	full time
Other resources		
—DPP representative		as required

Installation

Duration—4 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	2	full time
Supreme Court staff members	1	full time
County Court staff members	1	full time
Profession	1	full time
Other Resources		
—DPP representative		as required

# Summary of Users, Inputs/Outputs, Interfaces Supreme and County Court Case Management System

Attachment 1

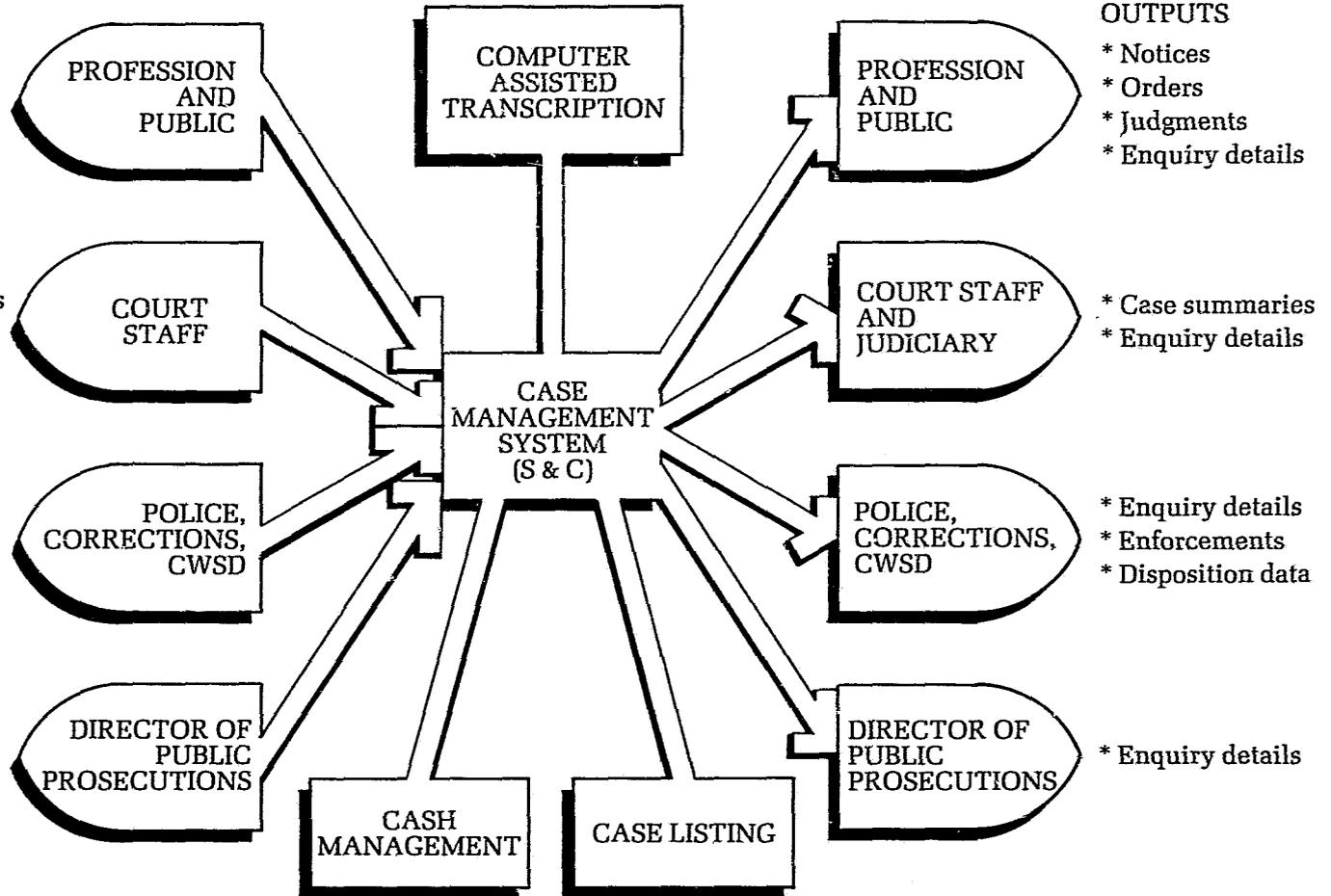
## INPUTS

- \* Case Documents
- \* Probate applications

- \* Disposition data
- \* Judgments, Orders
- \* Changes to case status
- \* Events

- \* Police/Witness availability
- \* Prior convictions reports

- \* Case details



## OUTPUTS

- \* Notices
- \* Orders
- \* Judgments
- \* Enquiry details

- \* Case summaries
- \* Enquiry details

- \* Enquiry details
- \* Enforcements
- \* Disposition data

- \* Enquiry details

# APPENDIX 3.3

## Project Description

### 1. System Title

Magistrates' Case Management (MCM) System.

### 2. System Scope

The Magistrates' Case Management (MCM) System will provide facilities for recording case initiation process such as summonses and informations and all additional process filed as the case proceeds.

Case related documents, such as warrants and summons, will be generated by the system whenever required or requested. These documents will be prepared using the case data stored in the MCM System's data base.

Statistical reports will be produced that will allow the court to monitor the case backlog and the effective utilisation of their resources. Reports will include such information as Magistrate's sitting days, case backlogs and case throughput rates.

Electronic data transfer facilities will be provided between the MCM system and systems operated by the Road Traffic Authority, Police, Office of Corrections, Sheriff's Office and the PERIN (Penalty Enforcement by Registration of Infringement Notice) System.

The implementation of MCM will be based on the concept of the profession, police and other prosecuting agencies entering the majority of the case process using terminal facilities located either in their office or at the courts. It is proposed that the communication link between the profession and the courts computer system will be provided by a third party communications network.

Appropriate security measures will be implemented within MCM to restrict access to the stored data to duly authorised users. A password system will be implemented to validate user identification. Additional levels of security will be implemented to restrict access to specific classes of information and to ensure that process cannot be altered once it has been filed.

As certain cases are confidential (such as Childrens Court matters) MCM will use these security features to restrict access to any data pertaining to these cases. Only specific users will be allowed to enquire on such cases.

### 3. Information and System Requirements Addressed

MCM will address the following identified system requirements:

- (a) All registry data such as informations, complaints, orders, affidavits and interrogatories will be electronically filed and stored by the system.
- (b) After cases have been disposed of, and after a set period of case inactivity, all case process, except for case summary data, will be

archived onto storage media such as removable magnetic disks, optical disks, or magnetic tapes.

Should anyone wish to enquire on archived cases, requests will be input to the system which will use an on-line index to locate the archived file. Operations personnel will load the required data and the details will be printed.

- (c) MCM will assist in the scheduling of case hearings. The system will monitor the case load for each court and use this information in conjunction with estimated case duration and the availability of participants to suggest a suitable hearing dates for cases. For criminal cases, this hearing date will be confirmed at mention days.

Case scheduling will also include:

- Maintaining and monitoring scheduled sitting days;
- Maintaining and monitoring court availability;
- Facilities for participants to actually book specific hearing dates, and
- Printing of reminder notices to all interested parties of impending hearing dates.

- (d) The system will provide facilities for the profession to file case process using computer equipment located either in their offices or at the courts. It is anticipated that case process filed using court facilities will attract additional court services fees.

To assist case process data entry function the system will provide the following:

- on-line help facility to assist the end user;
- document format checking facilities, and
- dictionary facilities to check on spelling.

These facilities will help to ensure, as far as possible, the correctness of process filed.

Process that will be electronically filed will include:

- Summonses;
- Informations;
- Applications;
- Affidavits, and
- Interrogatories and Answers to Interrogatories.

In addition facilities will be provided within the system to enquire on all case details.

- (e) MCM will utilise electronic data transfer facilities to exchange data with external agencies such as the Police and the RTA.

Transfers of data between MCM and the external agencies' systems will be achieved using two modes of communication. The first will involve real-time data transfer using a direct communication link between the courts computers and the external agencies' computers. The second method will involve batch data transfer using magnetic tapes which will be physically transported between the courts and the external agencies.

- (f) MCM will provide facilities for the bench clerk to generate orders. The clerk will enter the order details and the system will use data stored in its database to print the remaining details such as participant names. Once entered, the system will automatically update its database with the order details.

(g) MCM will significantly reduce the requirement for courts clerical personnel to fill out forms as it will generate all forms such as summonses, orders and warrants when required.

MCM will eliminate the need for clerks to prepare registers as all required information will be stored in the systems' database. Examples of some of the registers that are manually prepared are:

- Australian Register of Judgments;
- Family Law Register;
- Default Summons Register;
- Special Summons Register;
- Criminal Matters Register/s, and
- Alternative Procedure Register.

The system will use the stored case data to prepare the forms. This facility will eliminate the need to transcribe identical data from one document to another.

(h) The system will generate a number of reports that will enable courts administration to monitor the efficient operation of the Magistrates' Courts.

These reports will provide the following information:

- analysis of case backlogs;
  - analysis of case disposition ratios;
  - trend analysis focussing on case type and duration, and
  - analyses of court resource utilisation such as Magistrate sitting days and case throughput by court location.
- (i) The system will assist in case scheduling by automatically providing initial hearing dates for cases. It will use estimated case duration, case type, current case load, required location and the participants requested hearing dates to determine an appropriate hearing date. For criminal cases, this hearing date will be confirmed at mention days. Reminder notices will be produced by the system for all interested parties.
- (j) The system will increase the accessibility of the Magistrates' Courts to users and the profession. The proposal of having visiting Clerks of Courts in country areas will be supported by using portable computers to access the system. The profession will be able to enquire on cases in which they are involved using either their own equipment or terminals at the courts.
- (k) The system will simplify the cash management functions as it will provide the Cash Management System with details of fees incurred by the profession as well as case related transactions such as bail, fines and payments into court.

Attachment 1 illustrates the users, interface, inputs and outputs to MCM.

#### 4. Interface Requirements

The Magistrates' Court System will interface to the following external agency systems:

(a) Victoria Police.

Both on-line and batch data transfer will be required. On-line data transfers will be used by the Victoria Police to input Summonses and Informations. Restricted Police enquiries will also be supported by this interface.

Batch data transfers will be used to transfer warrant details to the Police. Once warrants have been executed, execution details will be transmitted back to the MCM System and the case records will be updated.

(b) The Sheriff's ISIS System.

Civil distress warrants for execution will be transmitted by MCM to the ISIS (Integrated Sheriff's Information System) System. The ISIS system will communicate execution or other details to the MCM system and the case records will be updated.

(c) Road Traffic Authority.

As with the Police, both batch and on-line data transfers will be required.

On-line data transfer will be used to allow the RTA to input summonses and informations and for general case enquiry.

Batch data transfer will be used to inform the RTA of details of convictions which affect licence status.

(d) The PERIN System.

MCM will receive infringement certificate details for registration and subsequent case initiation.

Enforcement details will be communicated to the PERIN system.

These data transfers will use a batch communications link between the two systems.

(e) Office of Corrections:

MCM will communicate details of prison sentences and other corrective dispositions, such as Attendance Centre Orders and Community Service Orders, to PIMS (Prisoner Information Management Systems).

CRIMS (Community based Corrections Information and Managements Systems) will communicate prisoner release data to MCM. This interface is required to provide MCM with the facility to detect possible breaches of parole and thus inform the Magistrate who may refuse subsequent bail applications.

This data transfer will be implemented using a batch interface.

## 5. Prerequisites

The prerequisites for the Magistrates' Case Management System are:

Initial pilot system (The pilot site will probably be at a Magistrates' Court complex such as Prahran or Broadmeadows)

- Software environment has been created, and
- The development computer is in place.

Full System

- Central computer installed;
- Communications network established, and
- Links to external agencies in place.

## 6. Implementation Approach

The implementation of MCM will be completed in three stages as follows:

### *Stage 1*

During this stage the MCM's criminal subsystem will be developed. It will allow for the entry and production of criminal process such as:

- Informations;
- Summonses;
- Orders;

- Warrants, and
- Bail/Remand applications.

The system will provide facilities for direct entry of criminal process by large prosecuting agencies such as the Police.

To assist in civil cases, summary case detail entry facilities will be provided. Using these facilities, the basic case data will be entered into the system so as to provide for case management functions.

Facilities, such as document tracking, will be provided to improve the management of documents within Magistrates' Courts.

### *Stage 2*

During this stage, facilities will be developed that allow selected members of the profession to perform case enquiry functions from their offices. At first this will be done on a pilot basis to test the viability of remote access to the courts system by the profession. Once the viability of this approach has been proven, access to case enquiry functions will become generally available to those members of the profession possessing appropriate equipment.

### *Stage 3*

During this stage, facilities will be developed that allow the direct entry of civil case process by the profession from their offices. Clearly, only those members of the profession possessing appropriate equipment will be able to make use of these facilities. For those members of the profession who don't possess appropriate equipment, entry facilities will be provided at the courts.

## 7. Benefits

The expected benefits to be derived from the implementation of MCM will be:

### *Direct*

- Reduction of clerical effort expended by the courts in document handling.
- More effective management of cases as they proceed through the courts.
- Significant improvement in access to case data.
- Increased ability to plan for and utilise court resources.
- Provide opportunities to increase revenue by allowing greater capacity to impose graduated structures of fees and charges.
- Improve ability to recover penalties.
- Reduced duplication of data.

### *Indirect*

- Expand the business of the Courts due to the systems enabling a greater number of cases to be processed.
- Automatically capture case data as soon as any process is issued.

## 8. Development Approach and Resource Requirements

The development approach to be used in the implementation of MCM will consist of three phases, Project Definition, Design and Installation. Based on the responses to the Expression of Interest, there are two packages available which may address the system requirements. These packages are DOCKETRAC and ICL's MAGIS systems. The purpose of the following phase will be to define the system in sufficient detail to enable an objective evaluation of the packages to be made during the Tender Evaluation. The estimated requirements for each of the phases are as follows:

### *Preliminary Stage*

Project Definition Duration—3 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	full time
CS0-2 Analyst/Programmer	2	full time
Courts staff	2	full time

### *Stage 1*

Design Duration—5 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	full time
CS0-2 Analyst/Programmer	2	full time
CS0-1 Programmer	1	full time
Courts staff	1	full time

Installation Duration—8 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project leader	1	4 days/week
CS0-2 Analyst Programmer	3	full time
CS0-1 Programmer	4	full time
Courts staff	2	full time

Stage 2

Design

Duration—2 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	3 days/week
CS0-2 Analyst Programmer	1	full time
CS0-1 Programmer	1	2.5 days/week
Courts staff	1	full time
Profession	1	full time

Installation

Duration—3 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	4.5 days/week
CS0-2 Analyst/Programmer	1	full time
CS0-1 Programmer	2	full time
Courts staff	1	full time
Profession	1	full time

Stage 3

Design

Duration—5 months

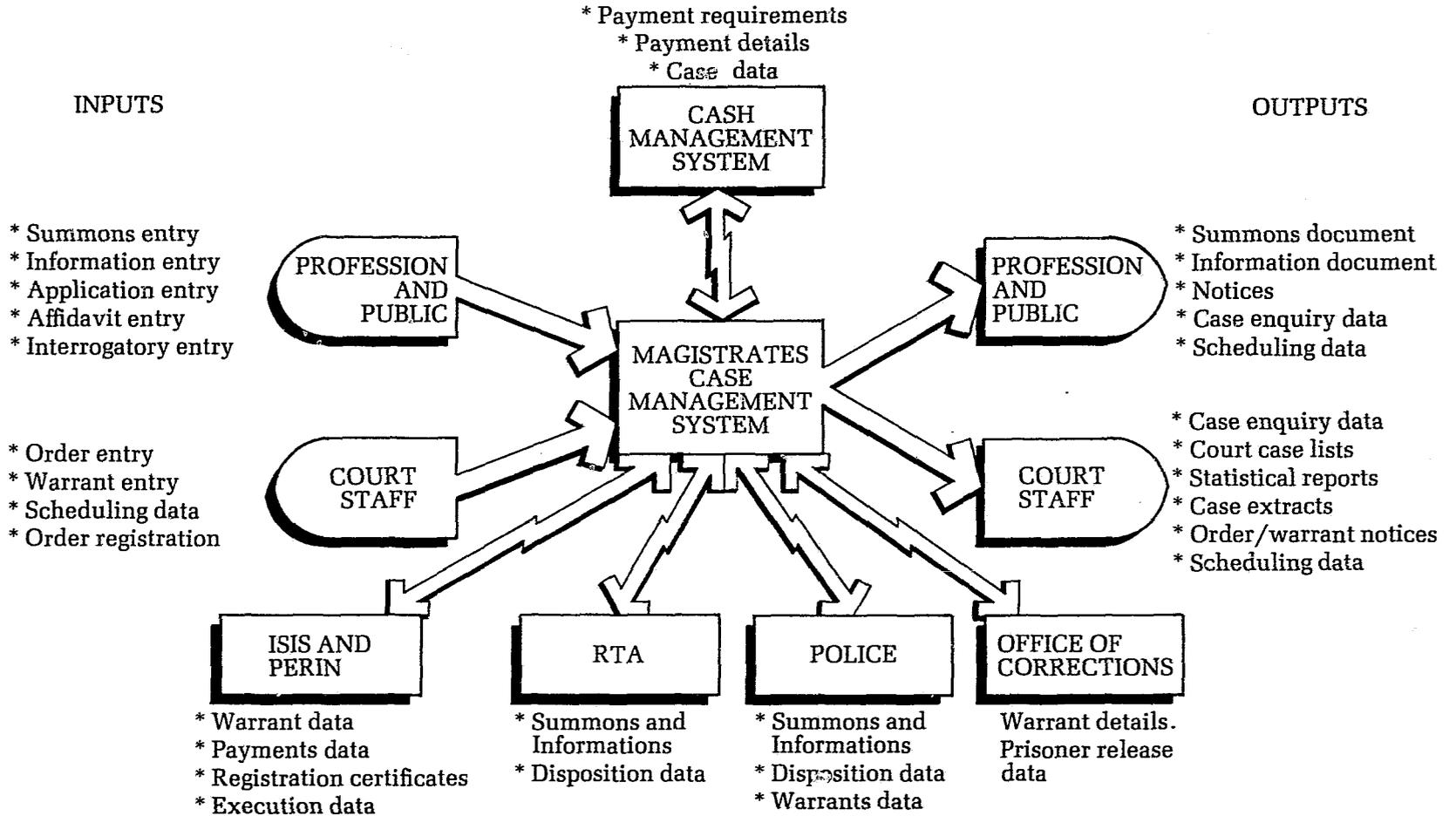
<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	full time
CS0-2 Analyst/Programmer	1	full time
CS0-1 Programmer	2	full time
Courts staff	1	full time
Profession	1	full time

Installation

Duration—4 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	full time
CS0-2 Analyst/Programmer	1	full time
CS0-1 Programmer	2	full time
Courts staff	1	full time
Profession	1	full time

# Summary of Users, Inputs/Outputs, Interfaces Magistrates Case Management System



# APPENDIX 3.4

## Project Description

### 1. System Title

Cash Management System.

### 2. System Scope

The scope of the Cash Management System will include the processing and accounting of all cash receipts and disbursements in all jurisdictions.

Facilities to record court fees, fines, bonds, sureties and payment, into/out of court will be provided. Billing notices will be periodically generated requesting payment of fees or charges. The facility will be provided to consolidate all outstanding payments for the one person or organisation.

The Cash Management System will include an Accounts Payable facility for the payment of court related expenses.

Facilities will be provided to enable disbursement of monies received by the courts to external agencies and persons.

The system will provide for disbursements to be made by computer generated cheques, handwritten cheques or cash.

These disbursements will cover payments to external prosecuting agencies, creditors, jurors, witnesses and payments out of the poor box. For cash or handwritten cheques, the system will record the payment details.

Periodic reconciliation reports will be printed summarising the movement of cash within the court and provide details of cash balances. These reports will be used for cash and cheque reconciliation.

The Cash Management System will generate all of the periodic returns required by Finance and Accounting Branch. The data for these returns will be automatically collected by the system whilst it is processing the courts financial transactions.

The Cash Management System will generate appropriate General Ledger transaction details for input to the Law Department's Accounting System. This will be done on a periodic basis as required by the Accounting System.

For Family Law maintenance cases, one bank account will be opened for each maintenance case. Periodically, the Cash Management System will electronically receive bank statements for these accounts and record all payments made into them. These records will then be used by Clerks to validate non-payment claims by maintenance recipients.

### 3. Information and System Requirements Addressed

The Cash Management System will address the following identified system requirements:

- (a) Automatic generation of billing notices.

The Cash Management System will use data maintained by the Case Management Systems to determine cases which have outstanding fees or charges. Billing notices will then be generated and dispatched (by mail) to the appropriate parties.

The system will allow for time payment of outstanding fines. A payment schedule will be prepared by the clerk and details input to the system. Periodic payment reminder notices will be printed by the system as well as exception reports listing overdue payments.

Each billing notice will consolidate all outstanding fees and charges.

*(b) Cash Receipts.*

The system will provide facilities to receipt cash or cheques at the courts. The system will record details of the receipts in the case database.

The system will allow payments to be received at any court regardless of the court at which the fine was imposed or the order made. This facility will provide greatly increased flexibility to court users for making payments into court.

The system will process the following receipts:

- fines/poor box;
- statutory costs;
- witness costs/compensation;
- bail moneys;
- maintenance instalments;
- Jury fees;
- Payments into court, and
- Infant investments (currently under review).

The system will generate payment receipts and bank deposit slips which are currently prepared manually.

*(c) Allow Maintenance payments to be made electronically.*

A separate bank account will be opened for each maintenance case registered with the courts. This will allow payments to be made using electronic funds transfer facilities.

Extracts of Bank statements from these accounts will be input to the Cash Management System to update the appropriate case payment records. This facility will provide the Clerks with accurate payment histories. They will be able to refer to these records when reviewing non-payment enforcement requests.

*(d) Provide an Accounts Payable facility.*

The Cash Management System will provide an accounts payable facility. Creditor information will be maintained together with details of any outstanding liabilities. Examples of court creditors would be stationery suppliers or locksmiths performing services for the courts.

Most payments to court creditors will be made by computer printed cheques which will be periodically printed at the central site.

*(e) Disbursements.*

The system will provide the facility to disburse receipts to individuals, external agencies and Courts Administration.

Disbursements will include:

- transfer of fines, forfeitures and statutory costs into the consolidated fund.
- payment of fines and costs awarded to external agencies such as Police,

RTA and Councils. Periodically a cheque will be sent to these agencies accompanied by a detailed payment listing.

- Release of payments into court.

Payments into court will be released at case settlement by issuing handwritten cheques. Details of these cheques will be entered into the system.

- Release of bail monies.

Bail monies will be released using handwritten cheques issued at the court. Cheque details will be entered into the system.

- Poor Box disbursements.

Poor box monies will be distributed by issuing either cash or handwritten cheques at the court. Cash or cheque details will be entered into the system.

- Payment of Crown Witnesses.

As for poor box disbursements, crown witnesses may be paid by issuing either cash or handwritten cheques. Cash or cheque details would be entered into the System.

- Payment of Jurors.

On a daily basis, using juror attendance data supplied by the Jury Management System, the Cash Management System will determine those jurors requiring payment.

For courts located at regional complexes, cheques would be generated by the system during the day and distributed to the required locations. For other courts, handwritten cheques will be used and the cheque details entered into the system.

In cases of need, the Sheriff may supply jurors with a cash payment. Should this happen, the payment details would be entered into the Cash Management System.

#### (f) Monitoring of Outstanding Fines.

The system will periodically produce reminder notices for those fines and costs becoming due for payment. These notices will consolidate all outstanding fines and allow for payment by instalment according to a pre-arranged payment Schedule.

An aged analysis report will be periodically produced to allow courts staff to quickly identify fines that require recovery action.

Attachment 1 illustrates the users, interfaces, inputs and outputs to the Cash Management System.

## 4. Interface Requirements

The Cash Management System will interface with the following internal and external systems:

- (a) The Case Management Systems (all jurisdictions).

The Cash Management System will use fee and charge data created by the Case Management Systems to generate its billing notices.

The Cash Management System will update the case data base when it either receives or disburses case related monies.

- (b) Banking Systems.

The Cash Management System will periodically receive bank statement listings for accounts held by the courts with those banks. These will be used to record receipt of maintenance payments and to reconcile other court bank accounts.

Magnetic tapes will most likely be used to effect this data transfer between the Banks and the courts.

(c) External Agencies (i.e. Police, the RTA and the Councils)

The Cash Management System will periodically prepare cheques which consolidate all relevant payments to the courts on behalf of prosecuting agencies. Accompanying each cheque will be a transaction listing which lists individual payments received by the courts.

These transfers of transaction listings will most likely be effected using magnetic tape.

(d) The Law Department's Accounting System.

Periodically the Cash Management System will transmit a general ledger transaction journal, by magnetic tape, to the Law Department's Financial Accounting System, FM/80. These transactions will then be consolidated into the Law Departments General Ledger.

## 5. Prerequisites

The prerequisites for the Cash Management System are:

- (i) The central mainframe computer facilities are in place to support all jurisdictions;
- (ii) The Courts network is fully established;
- (iii) The Case Management Systems are implemented, and
- (iv) The links to banking and external prosecuting agencies established.

## 6. Implementation Approach

The approach to be followed to implement the Cash Management System will be to install it as one complete system after the initial stages of the Supreme, County and Magistrates' Case Management Systems have been implemented.

The installation of the system will be staged by jurisdiction, with the Magistrates' Court probably being the first stage.

## 7. Benefits

The benefits that will result from the implementation of the Cash Management System will be:

### *Direct*

Reduced manual effort in:

- the preparation of receipts
- cheque preparation;
- recording payments against cases;
- providing advice as to payments made/required, and
- preparation of periodic returns.

Potential for increased fine recovery rate by allowing easy and quick identification of outstanding fines.

Reduction in stationery cost by:

- removing the need for each location to manually prepare individual returns;
- provide receipt printers at each court location, and
- reduce the incidence of unused printed cheques.

### *Indirect*

- Increased flexibility by allowing payments of fines to be made at any court location. Maintenance payments may also be made at any bank.
- Implement uniform clerical procedures for processing financial transactions. Currently, these procedures differ to some degree between courts. By using the one Cash Management System these differences will be eliminated.
- Uniform compliance with audit reporting requirements. This will result from the use of one system throughout Victoria which complies with all auditing requirements.
- Increase in the accuracy and timeliness of financial returns.
- Improved accounting for revenue and expenditure.

The installation of the Cash Management System will derive direct and quantifiable savings estimated to be \$1,278,000 in a full year of operation.

## 8. Development Approach and Resource Requirements

Based on the responses to the Expression of Interest, there is no package available which addresses the requirements of the Cash Management System. Consequently, it will be custom developed using a fourth generation language facility. There will be a Preliminary Stage to prepare a Project Definition followed by Stage 1 which will involve a Design and an Installation phase. The estimated resource requirements are as follows:

### *Preliminary Stage*

Project Definition Duration—3 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-2 Analyst/Programmer	1	full time
Court staff	1	full time

### *Stage 1*

Design Duration—4 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project Leader	1	full time
CS0-2 Analyst/Programmer	2	full time
CS0-1 Programmer	1	full time
Courts staff	2	full time
Auditor	1	full time

## Installation

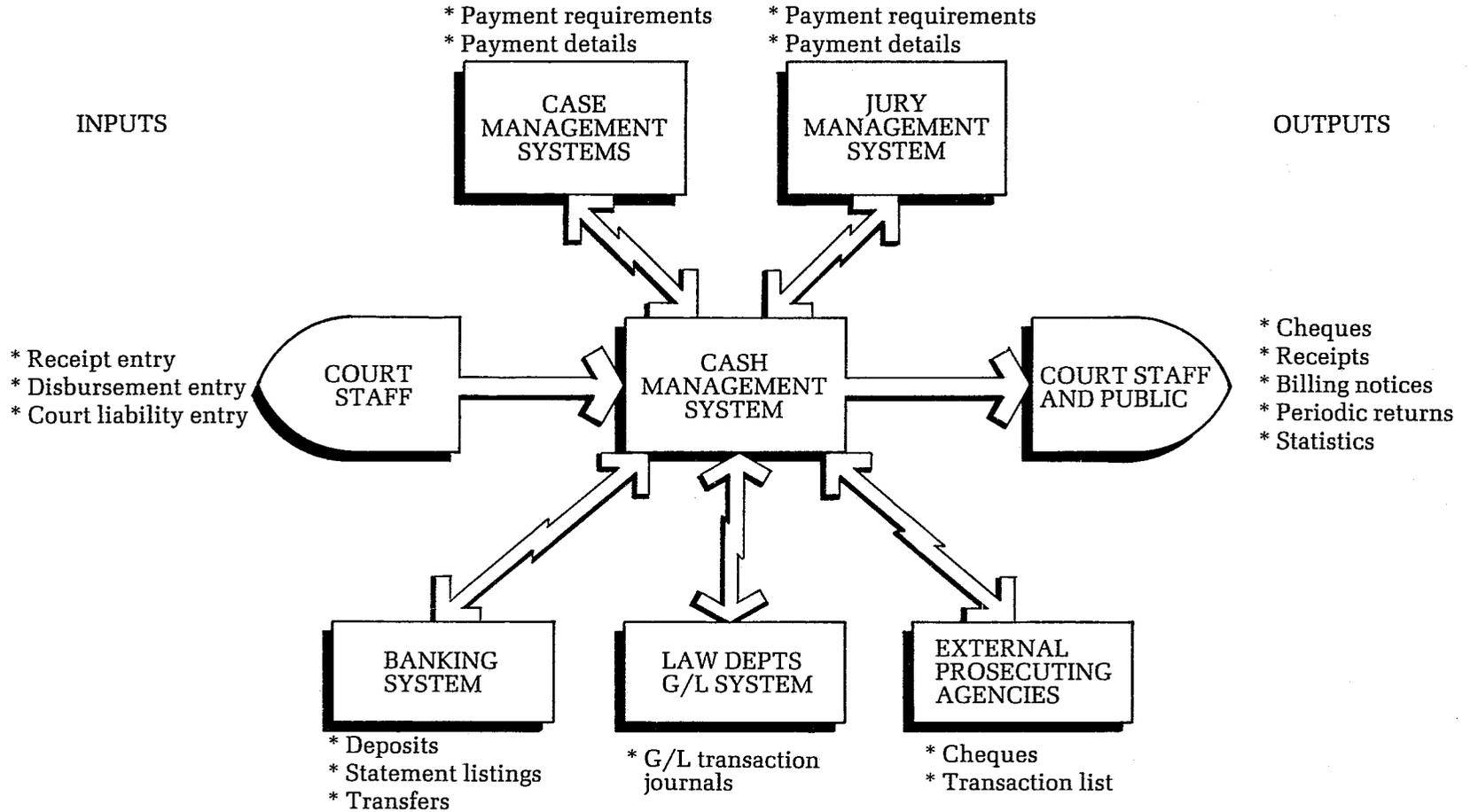
Duration—6 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-3 Project leader	1	full time
CS0-2 Analyst/Programmer	3	full time
CS0-1 Programmer	3	full time
Courts staff	2	full time
Auditor	1	full time

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# Summary of Users, Inputs/Outputs, Interfaces Cash Management System



# APPENDIX 3.5

## Project Description

### 1. System Title

Supreme and County Courts Case Listing System.

### 2. System Scope

This project involves the implementation of the Case Listing System which will address the case listing requirements of the Supreme and County Court jurisdictions, including the circuit courts. The system will be fully integrated with the Case Management System and provide the courts with the following facilities:

- (a) automated listing of civil cases once the Certificate of Readiness has been filed;
- (b) listing of criminal cases once the Listing Notice has been received from the Director of Public Prosecutions;
- (c) notification to all parties that a case has been added to the list and the estimated date when the case is expected to proceed;
- (d) notification to all parties required to attend pre-trial conferences, callovers and trials;
- (e) facilities to update and monitor the lists;
- (f) facilities to maintain judge and courtroom availability and allocate cases accordingly;
- (g) forecasting information based upon case backlog and past performance to predict judicial, jury and court resources required to meet the present and forecast case workload, and
- (h) electronic case enquiry.

#### *CIVIL CASE LISTING*

The Case Management System will record the lodging of the Certificate of Readiness and automatically add the case to the appropriate list. The Listing System will monitor the case using case event details and previous case disposition statistics.

Cases will be selected from the list and pre-trial conferences scheduled. The system will automatically select these cases based on user defined selection criteria such as assigned priority, case mix criteria and by referencing a diary of available dates and times. The system will also allow for manual selection of particular cases. Times and dates will be assigned to the case and the notices for the parties produced. Details of settlements resulting from pre-trial conferences will be entered into the Case Management System and the case will be deleted from the list. Realistic estimates of the case duration will be required for the automated listing system to be effective. These will be obtained at the pre-trial conference.

The Case Listing System will select cases for callover. During this selection process the system will access judge and courtroom availability information and produce suggested court lists which will be used at the callover. The suggested lists will be updated with information obtained from the callover enabling final lists and notices to be produced.

The daily lists will be monitored and updated as each case is heard. The facility will be available to reschedule cases. Constant monitoring of the lists, more accurate forecasting of case duration, and the scheduling of cases based on known availability of court resources will enable more effective management of the case backlog. Actual case duration and other case details will be used to provide statistical information such as average case duration by case type and percentage of cases by case type requiring juries. This data will be used to forecast jury, judge and courtroom requirements and should minimise the occurrence of scheduled cases not being heard. Performance statistics will also be used to monitor trial duration estimates given by practitioners and to monitor the points at which cases fall out of the list.

### *CRIMINAL CASE LISTING*

The Criminal Trial Listing Directorate (CTLD) will be responsible for maintaining criminal case details and scheduling cases once the Listing Notice has been received from the Director of Public Prosecutions (DPP). Seven day letters will be produced by the system notifying the accused; a suitable date for the trial will be arranged with all parties and notices produced. Lists will be produced, cases heard and actual trial duration and hearing details entered.

The system will maintain case disposition statistics, similar to those for civil cases and provide forecasts of jury, judge and courtroom requirements. This will ensure that criminal cases, particularly those where the defendant is on remand, are heard in a timely manner. Exception reports will also be provided to monitor cases which are not brought to trial within the required period.

### 3. Information and Systems Requirements Addressed:

The case management system will address the following information and systems requirements.

(a) Implementation of computer systems and revised procedures which:—

- eliminate the need to transcribe case data—the Listing System will have access to all case details;
- eliminate manual registers—on-line enquiry facilities will exist to access cases by case number, names of parties, type of case and dates;
- electronically file documents from the profession and DPP within the courts;
- provide case listing enquiry facilities, subject to strict security constraints, to all parties, and
- monitor the court procedures and provide exception reports when procedures are not complied with.

(b) Implementation of computer systems and revised procedures which make efficient use of resources within the courts system by:

- recording listing related case data, pre-trial conference details, callover details and trial details e.g. date and duration;
- monitoring trial duration together with the availability and use of judges, juries and court facilities, and
- recording listing related events.

(c) Providing integration of court and external agencies systems.

- Director of Public Prosecutions;
  - Criminal Trial Listing Directorate, and
  - Police.
- (d) Providing timely and relevant information to support the effective operational management of the courts. This information will include statistical and exception reports which enable early trend recognition of:
- case backlog;
  - case disposition rates, and
  - court resource utilisation.
- (f) Improving public access to courts by providing:
- on-line access to case listing details by the DPP, CTLD and the profession, subject to security guidelines, and
  - on-line enquiry access to court lists.
- (g) Reducing storage requirements for case listing documentation and provide access to electronically stored case files.
- (h) Minimising the number of forms by:
- storing forms in the computer system—changes to forms will be made electronically and will not require reprinting of large stocks of forms;
  - eliminating the need to keep stocks of pre-printed forms as the system will produce them, and
  - simplifying and standardising administrative procedures as a result of the introduction of computerised systems.

Attachment 1 illustrates the users, interfaces, inputs and outputs to the Supreme and County Courts Case Listing System.

#### 4. Interface Requirements

The Listing System will form an integral part of the overall case management function. Therefore the interface requirements between these two systems will be significant even to the extent that the two systems will appear to the users as the same.

To a lesser extent an interface with the Cash Management System is needed to ensure details of jury and other fees relevant to case listing have been made.

#### 5. Prerequisites:

Successful implementation of this system will require the full support of the courts and profession. The case management system will need to be implemented before this system. The system may require changes to the Supreme and County Court Rules prior to implementation.

#### 6. Implementation Approach

The implementation of the Case Listing System will follow the implementation of stage 1 of the Case Management System. The Court Lists will be electronically maintained and produced for civil and criminal cases as a single stage.

#### 7. Benefits

The benefits to be derived from the implementation of the Case Listing System will include:

*Direct*

- (a) Staff savings particularly in the Prothonotary's Office and the County Court Registry;
- (b) More effective case listing with the availability of exception reporting, statistical reporting and on-line case enquiry;
- (c) Improved access to case listing data by all authorised persons;
- (d) Eliminate duplication and transcription of case details, and
- (e) Reduced cost of stationery.

*Indirect*

- (a) Potential for increased revenue based on a fee structure which reflects the actual utilisation of court resource, and
- (b) More effective planning and utilisation of court resources.

The installation of the Case Listing System will derive direct and quantifiable savings estimated to be \$89,000 in a full year of operation.

**8. Development Approach and Resource Requirements:**

Based on the responses to the Expression of Interest there are no standard packages available which address the system requirements. Consequently, the system will be custom developed using a fourth generation language (4GL).

The estimated development resource requirements are:

*Stage 1*

Design Duration—3 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	2	full time
Supreme Court staff member	1	2.5 days/week
County Court staff member	1	2.5 days/week
Other resources		as required
—legal profession		
—DPP representative		

## Installation

Duration—3 months

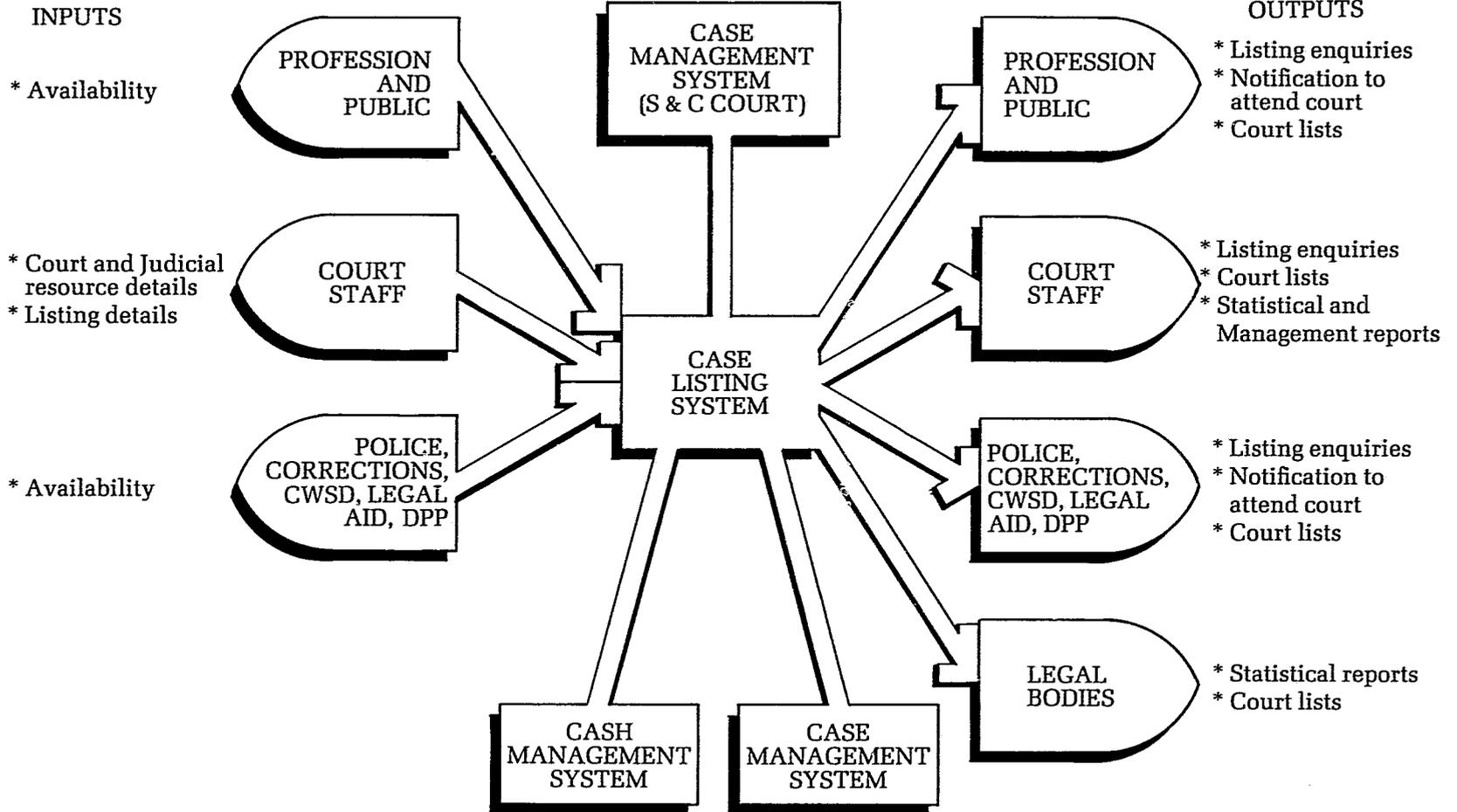
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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	3	full time
Supreme Court staff members	1	2.5 days/week
County Court staff members	1	2.5 days/week
Other Resources		as required
—legal profession		
—DPP representative		

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# Summary of Users, Inputs/Outputs, Interfaces Supreme and County Court Case Listing System

Attachment 1



# APPENDIX 3.6

## Project Description

### 1. System Title

Jury Management System (JMS)

### 2. System Scope

The Jury Management System will provide facilities to ensure appropriate numbers of eligible jurors are available on a timely basis for the courts. Once installed, the system will replace the existing partly computerised Jury System.

The system will forecast juror requirements for the next jury period using information maintained in the Case Management System. Based on these forecasts, the system will extract an appropriate number of jurors from the Electoral Roll system. Potential jurors will be extracted using a randomising algorithm which complies with the Acts governing juror selection.

There will be a once a year extraction of jurors from the existing system. This file will then be downloaded to the Courts system.

The Sheriff will also be able to use an override facility for modifying the forecast requirements to reflect last minute changes in jury requirements.

Having selected a number of potential jurors, JMS will print questionnaires for distribution to eligible potential jurors. The system will maintain a file of ineligible jurors to ensure that as far as possible, only eligible jurors are sent questionnaires.

Once the questionnaire responses have been received, JMS will analyse them and create a list of eligible and ineligible jurors.

At appropriate intervals, at least ten days prior to service, JMS will print summonses instructing jurors to attend courts at specific times.

The system will interact with the Cash Management System to facilitate payment of jurors who attend court.

Juror utilisation statistics will be periodically prepared to monitor the efficiency of the system.

### 3. Information and System Requirements Addressed

JMS will address the following identified system requirements:

- (a) JMS will interface with the Electoral Office computer system to periodically extract potential jurors from the Victorian Electoral Rolls.
- (b) JMS will maintain a file of ineligible jurors, to ensure questionnaires are only sent to people who are not known to be ineligible for jury service. This file will be updated based on the questionnaire responses.
- (c) JMS will prepare questionnaires for distribution to all potential, eligible jurors.

- (d) Questionnaire responses may be processed by a scanning device to minimise data entry requirements and consequently speed up the processing of the responses.
- (e) At appropriate intervals, JMS will generate summonses to a sufficient number of jurors to satisfy the jury requirement.
- (f) JMS will communicate juror payment requirements to the Cash Management System, which will prepare juror payment cheques. A facility to provide jurors with either cash or handwritten cheques will be included to allow the Sheriff's Office to make juror payments on demand. Details of these cheques will then be entered into the Cash Management System.
- (g) JMS will periodically produce statistical reports to allow the Sheriff to monitor the operation of the system.

Examples of these reports would be:

- Juror utilisation;
  - Juror payments;
  - Juror safety margin analysis, and
  - Juror requirements forecasts.
- (h) JMS will regularly produce a report indicating the projected Juror Payment requirements for the next period. This report will be used by Accounting and Financial Services to plan juror cash flow requirements.
  - (i) A Manual override facility will exist to allow the Sheriff to manually determine the number of potential jurors he wishes to extract from the Electoral Roll.

Attachment 1 illustrates the users, interfaces, inputs and outputs to JMS.

The existing system will have to be removed from the Government Computing Services computer by 1987.

#### 4. Interface Requirements

The Jury Management System will interface to the following systems:

(a) The Electoral Roll System

JMS will extract potential jurors from the Electoral Roll System. The actual selection process will employ a randomising algorithm ensuring that potential jurors are selected as randomly as is possible.

(b) The Case Listing System

JMS will use data supplied by the Listing System to forecast juror requirements.

A possible forecasting formula could be:

$$\text{Historical Absentee rate (A)} = \frac{\text{Number Jurors summonsed}}{\text{Number Jurors appearing}}$$

$$\text{Historical Qualification rate (Q)} = \frac{\text{Number Jurors selected}}{\text{Number Jurors qualified}}$$

T1 = Projected number of jury trials with 4-man jury panels

T2 = Projected number of jury trials with 6-man jury panels

T3 = Projected number of jury trials with 12-man jury panels

The number of Jurors selected next period

- $J = (T1 \times 4 + T2 \times 6 + T3 \times 12) \times Q \times A$

### (c) The Cash Management System

JMS will periodically communicate juror payment requirements to the Cash Management System which will prepare the cheques for juror payments.

The Cash Management System will also record details of cheques or cash payments in those instances where jurors are paid by handwritten cheques or cash.

## 5. Prerequisites

The prerequisites for the implementation of JMS are:

### *Hardware*

- The central computing facility is in place, and
- Tape extracts from the Electoral Roll System have been organised.

### *Software*

- The Supreme and County Courts Case Management System has been installed, and
- The Supreme and County Courts Case Listing System has been installed.

Note that JMS could be implemented prior to either the Case Listing or Case Management Systems. To do this, however, all jury requirements data (including forecasts) would have to be manually input.

## 6. Implementation Approach

The approach used to implement the Jury Management System will be to install it as one complete system after the Supreme and County Court Case and Listing systems have become operational.

## 7. Benefits

The expected benefits to be derived from the implementation of JMS will be:

### *Direct*

- Provide the potential to reduce the number of jurors summoned. This will result from the facility to accurately forecast juror requirements based on historical and projected case loads obtained from the Case Listing System.
- Reduction in the current level of clerical and administrative effort by providing electronic scanning of questionnaire responses, automatic production of listings of panels and production of cheques as required.
- Reduction in stationary costs (i.e. questionnaires, summonses and cheque forms) resulting from facility to detect ineligible jurors and to print cheques only when required.

### *Indirect*

- Improved public perception of courts system resulting from not sending questionnaires to ineligible persons and summoning only enough jurors to satisfy requirements.
- Improved planning for court resources i.e. greater ability to forecast juror requirements.
- Better compliance with the requirements of the Juries Act.

The savings to be derived from these benefits have not been quantified.

## 8. Development Approach and Resource Requirements

Based on the responses to the Expression of Interest there is no package available which meets the requirements of the system. It will therefore need to be custom developed using a fourth generation language facility.

The development approach to be used in the implementation of JMS will consist of two phases, Design and Installation. The estimated resource requirements are as follows:

Design Duration—3 months

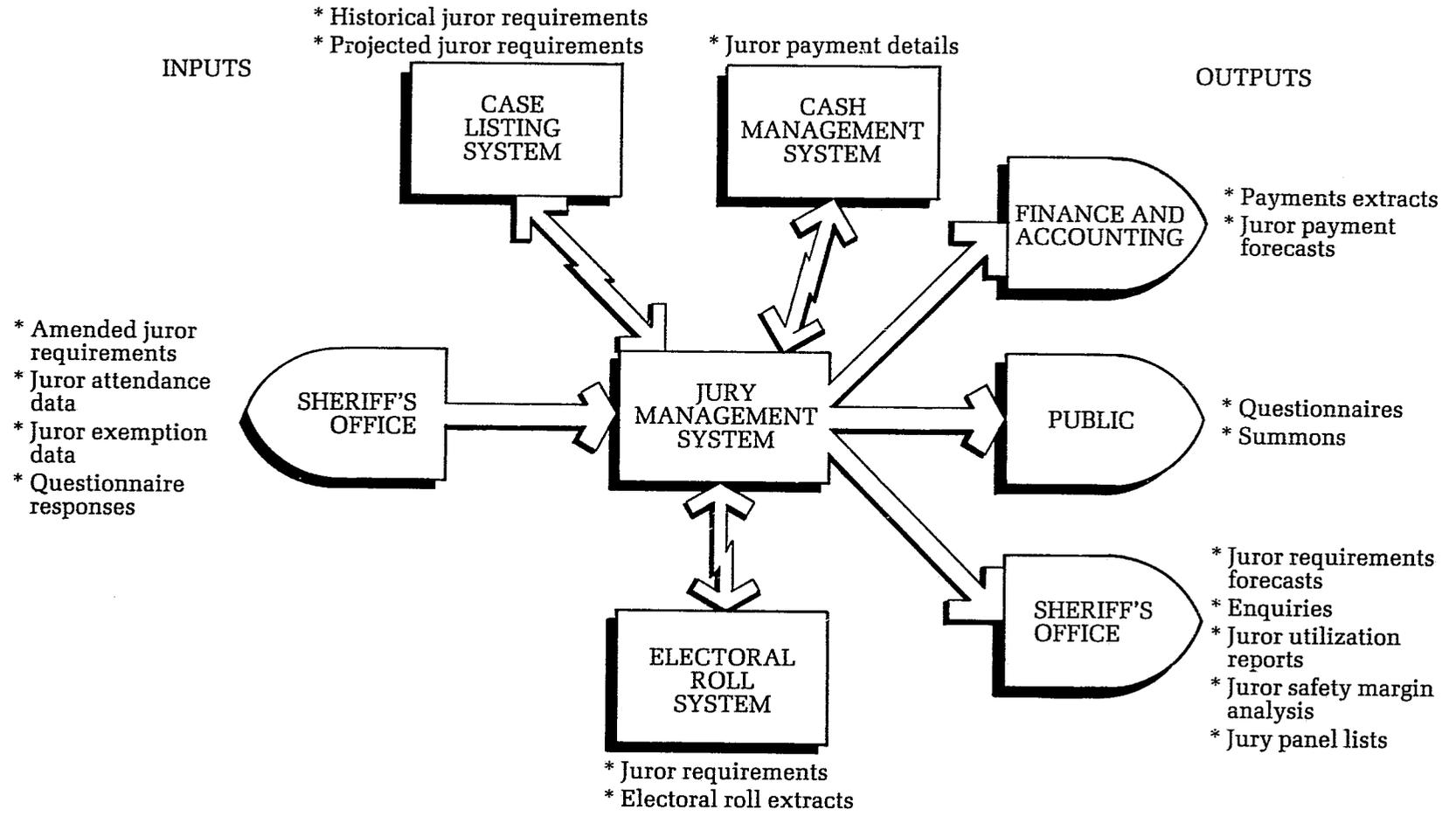
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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	full time
CSO-2 Analyst/Programmer	2	full time
CSO-1 Programmer	1	full time
Sheriff's staff	1	full time
Installation		Duration—4 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project leader	1	full time
CSO-2 Analyst Programmer	2	full time
CSO-1 Programmer	2	full time
Sheriff's staff	1	full time

# Summary of Users, Inputs/Outputs, Interfaces Jury Management Systems



# APPENDIX 3.7

## Project Description

### 1. System Title

Library System

### 2. System Scope

The Library System will provide support to the Law Department libraries and their respective users. When implemented it will provide the following facilities:

- a central catalogue system accessible by author (including joint), editor, subject, title, classification, corporate title, call number, and key word searching on the catalogue and abstracts. There will also be facility to make analytical entries (direct readers to areas of particular interest);
- multi-location control for multiple libraries and multiple locations within a library;
- acquisition and accessioning management to control on order accession and pre-selection information;
- periodicals and serials control in areas such as stock, binding and subscription control with access via author, title, publisher and renewal date;
- circulation control incorporating registration, issues and returns, reservations, renewals and extensions, statistical analysis and inter-library loans, and
- built in Thesaurus and standard titles.

The libraries involved will be the Supreme Court Library, County Court Library, Coroner's Court Library and the Parliamentary Council Library. It may also include Magistrates' Court Libraries and other book collections throughout the Law Department.

For the courts, the system will provide a single catalogue for all library collections. Each library will maintain their own catalogues and add all acquisitions. The catalogue will be accessible to users to enable them to request inter library loans if they do not have access to the library which has the particular material. The catalogue will be indexed by:

- author (including joint);
- title (including corporate);
- subject;
- edition;
- classification;
- call number, and
- key words on the catalogue and abstracts.

The system will handle multi-location libraries and multi-locations within a library. Circulation control will allow for registration and maintenance of borrower details. Issues, returns, renewals and extensions will be processed by recording the book, magazine or journal details, perhaps using a bar code scanning system. The system will also cater for reservations and inter-library loans.

Administratively, the system will control the acquisition and accessioning of material on order and allow for pre-selection of material until funds are available. For periodicals the system will control subscription renewals and ensure all material is received. Overdue material will be highlighted on exception reports. Periodicals sent out for binding will also be controlled.

The system will also provide authorised users, such as the librarian, with access to public data bases for research projects and to satisfy specific enquiries. For example, the medical staff at the Coroner's Court will need access to Medline, Ambase etc. through the National Library in Canberra.

### 3. Information and Systems Requirements Addressed

The Library System will address the following information and systems requirements:

- (a) Implementation of computer systems and revised procedures which:
  - eliminate manual catalogues and indexes;
  - simplify research and access to the catalogue using on-line enquiry facilities with multiple indices, and
  - electronically record loans, renewals and returns.
- (b) Implementation of computer systems and revised procedures which make efficient use of resources. The recording of all library collections in a central catalogue will allow the sharing of library resources and avoid unnecessary duplication.
- (c) Integrate court library facilities.
- (d) Provide timely and relevant information to support the effective management of libraries e.g. borrowing statistics, overdue loans etc.
- (e) Provide judicial support through sophisticated research facilities such as key word searching on the catalogue and abstracts.
- (f) Improve access to the court libraries through the central catalogue and inter library loans.

Attachment 1 is a schedule of the users, inputs and outputs.

### 4. Interface Requirements

No interface requirements have been identified that this system must address.

### 5. Prerequisites

There are no prerequisites for this project.

### 6. Implementation Approach

The system will be implemented in one stage with the following phases:

#### *Phase 1*

- Define library system requirements.
- Evaluate library systems and select suitable package.
- Adapt/modify package where necessary.

## Phase 2

- Implement system progressively in each library
- Supreme Court;
- County Court;
- Parliamentary Council, and
- Coroner's Court.

## 7. Benefits

### Direct

- Rationalise the purchase and subscription of texts, periodicals and journals.

### Indirect

- Standardised Thesaurus;
- Wider distribution of material;
- Greater access to reference material;
- Improved service and flexibility;
- Reduced errors by standardising cataloguing, and
- Reduced loss of library material.

Savings accruing from these benefits have not been quantified.

## 8. Development Approach and Resource Requirements

The Library System will be implemented using a package however it will be necessary to adapt the package to the courts requirements.

The estimated resource requirements are as follows:

### Phase 1

Design Duration—3 months

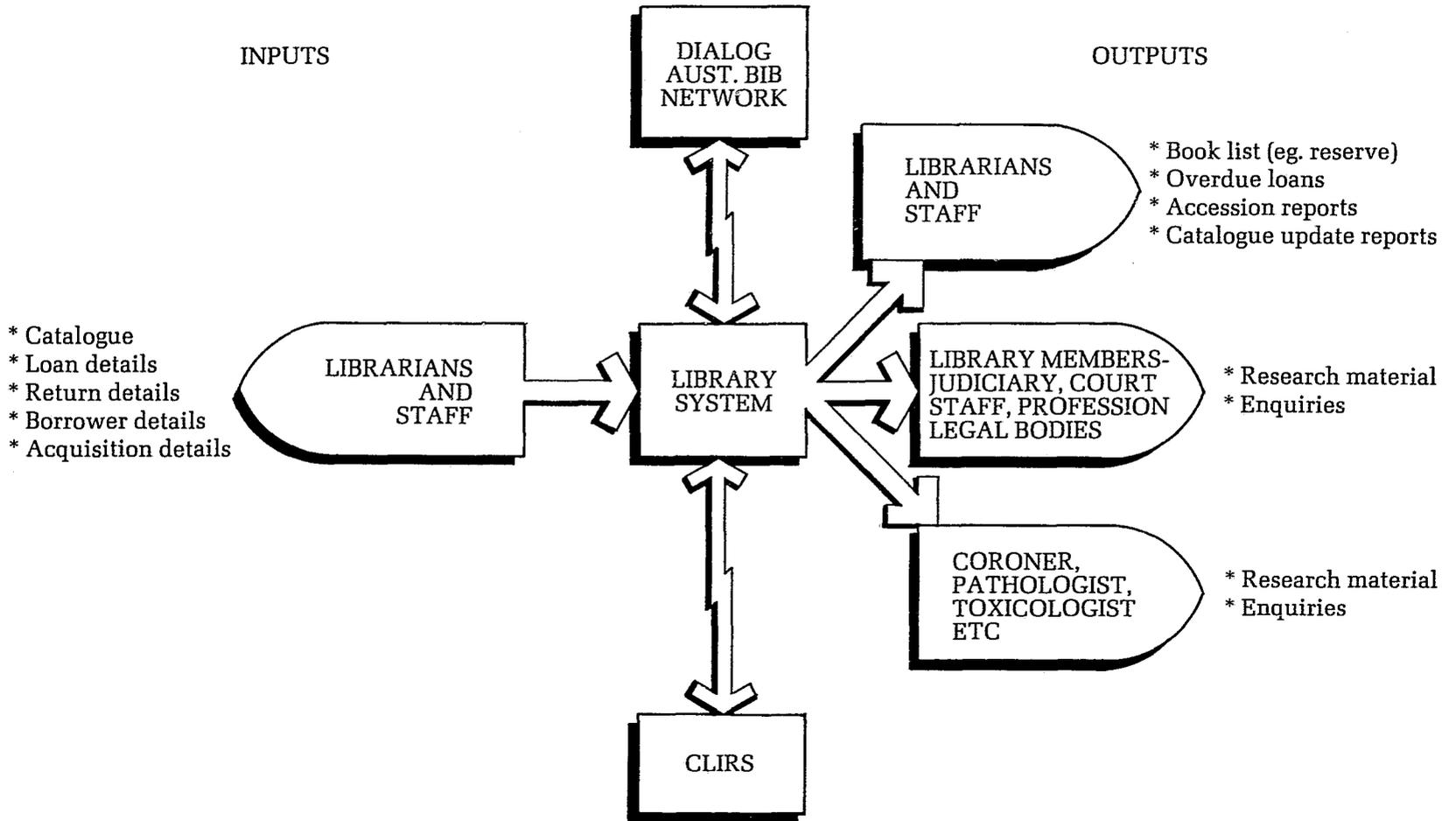
<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	2.5 days/week
CSO-2 Analyst/Programmer	1	full time
CSO-1 Programmer	1	full time
Library staff members	1	full time

### Phase 2

Installation Duration—3 months per library

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	2.5 days/week
CSO-2 Analyst/Programmer	1	full time
CSO-1 Programmer	1	2.5 days/week
Library staff members	1	full time

# Summary of Users, Inputs/Outputs, Interfaces Library System



# APPENDIX 3.8

## Project Description

### 1. System Title

Judicial Support Systems.

### 2. System Scope

The Judicial Support Systems will provide access to information to assist judges and magistrates perform their judicial functions. Support systems will utilise terminal facilities to access CLIRS, provide access to word processing facilities and use micro-computers. These facilities will allow judges and magistrates to search legal information, access pre-sentence and pre-judgment information, comparative damages and sentencing statistics, transcripts, and maintain personal files and diaries. The support systems will also assist in the scheduling of judges and magistrates to civil and criminal jurisdictions.

### 3. Information and System Requirements Addressed

Judicial Support Systems address the following identified system requirements:

- (a) Providing access to CLIRS (Computerised Legal Information Retrieval System) for:
  - (i) Acts and Regulations;
  - (ii) Case law and precedents;
  - (iii) Reported and unreported judgments, and
  - (iv) Access to overseas data bases such as EUROLEX and LEXIS.
- (b) Micro-computer support systems to:
  - (i) Assist in the scheduling of Supreme and County Court judges. This facility will replace the existing manually prepared spread sheet which is extremely cumbersome and time consuming to maintain.
  - (ii) Provide personal diary facilities for judges and magistrates to record their own schedules and to assist in scheduling.
  - (iii) Access transcripts and judgments using a variety of indices (for example by exhibit, witness, plaintiff, defendant, ruling, time of day that evidence is given, key word etc.). Using portable micro computers this facility will be available at home, on circuit and in chambers.
  - (iv) Maintain judges or magistrates personal files, including articles, rulings, unreported judgments and other relevant information. The judge or magistrate will be able to maintain this information for his own personal use as well as share it with either his brother judges or fellow magistrates. This facility will reduce the need for judges and

magistrates to maintain their own personal paper files which require considerable effort to update.

- (v) Maintain comparative damages and sentencing statistics.
- (c) Provide word processing facilities to assist in the preparation of judgments, recording of model judgments and jury charges.
- (d) Provide the facility to retrieve transcript information using a variety of key word indices including witness, exhibit number and exhibit cross reference, ruling.

Attachment 1 illustrates the users, interfaces, inputs and outputs to the Judicial Support Systems.

#### 4. Interface Requirements

The Judicial Support Systems will interface with the following systems:

- (a) CLIRS (Computer and Legal Information Retrieval System)
- (b) CAT (Computer Aided Transcription)

The Judicial Support Systems will allow the judiciary and magistracy access to the CAT system by providing software which allows for the extraction of transcript material.

- (c) Word Processing

The Judicial Support Systems will interface with the word processing network allowing information to be copied into or extracted from word processing files.

#### 5. Prerequisites

The prerequisites for the Judicial Support Systems are:

- (a) Selection of mainframe and micro-computers;
- (b) Selection of word processing equipment;
- (c) The CAT system must be operational, and
- (d) Development mainframe installed.

#### 6. Implementation Approach

The installation of the Judicial Support Systems will be staged as follows:

- Stage 1        Micro-computer support
- Stage 2        Access to CLIRS;  
                  Word processing, and  
                  Access to CAT.

#### 7. Benefits

##### *Direct*

The direct benefit which may be realised by implementing the Judicial Support Systems will be:

- Potential for increased productivity of judicial resources.

##### *Indirect*

The indirect benefits which may be realised by implementing the Judicial Support Systems will be:

- More flexible court system, and
- Improvement in the quality of justice.

These benefits will not derive quantifiable savings.

## 8. Development Approach and Resource Requirements

The development approach will make use of mainframe fourth generation language facilities, micro-computer spread sheet software facilities and text retrieval facilities. The estimated resource requirements are as follows:-

*Stage 1* Duration—9 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-2 Analyst/Programmer	1	full time

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Stage 2 Duration—12 months

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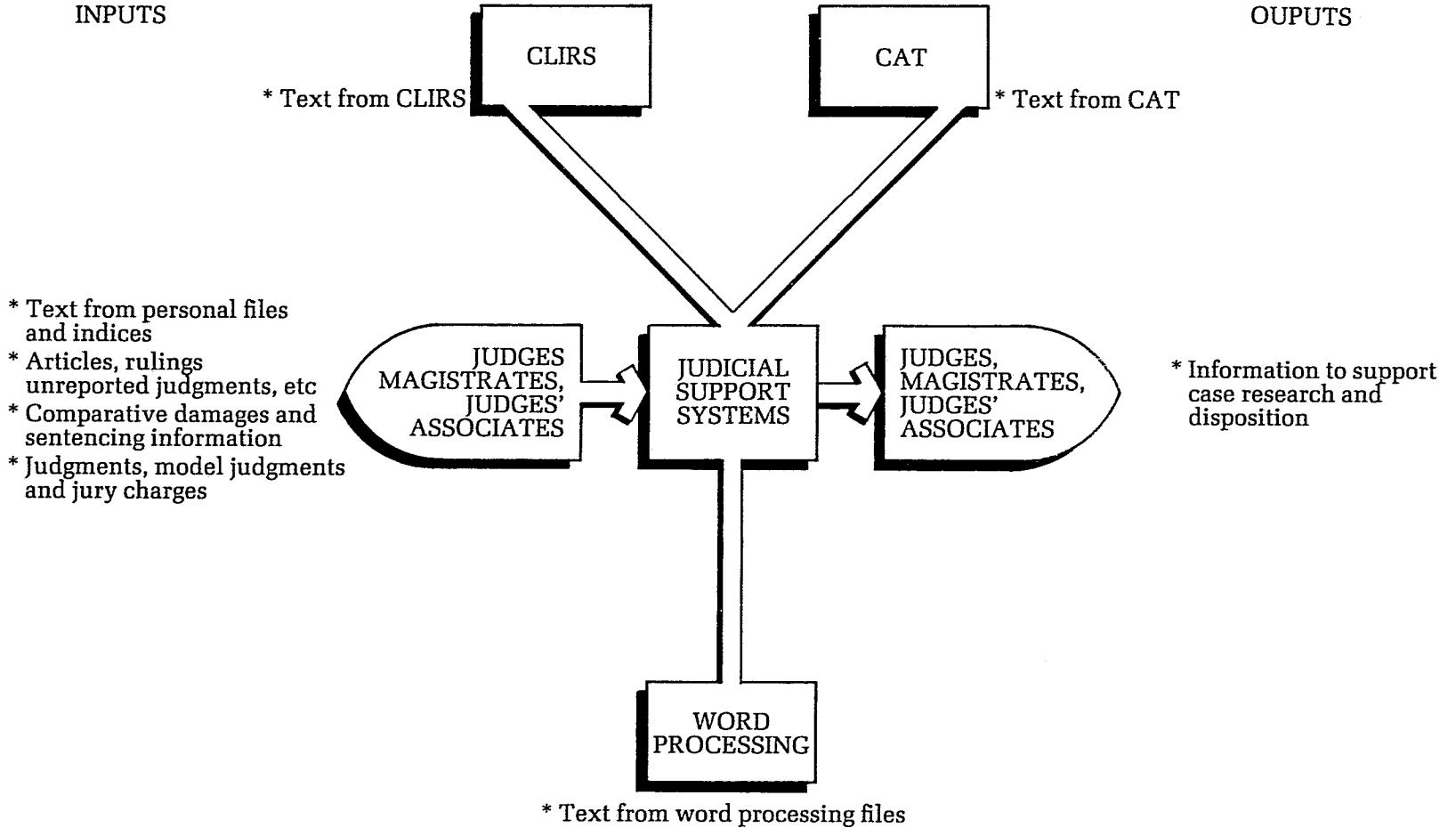
<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-2 Analyst/Programmer	1	full time
CSO-1 Programmer	1	full time

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# Summary of Users, Inputs/Outputs, Interfaces Judicial Support Systems

## INPUTS

## OUTPUTS



# APPENDIX 3.9

## Project Description

### 1. System Title

Tribunal Case Management System

### 2. System Scope

The system will address the requirements of the Administrative Appeals Tribunal (AAT) case management. However when implemented it will be able to be used by other tribunals. The system will perform the following functions:

- (a) Record the receipt and details of applications received;
- (b) Produce all relevant notices including receipt of application, notices to inform other parties of the application, notices to attend conferences and hearings;
- (c) Record details of preliminary conference dates and outcomes;
- (d) Record details of hearing including the dates set, duration and judgment;
- (e) Provide access to application details by application number and names of parties;
- (f) Prepare statistical and exception reports which provide the Registrar with an effective means to monitor the case workload and identify trends.

The system will record application details when they are lodged. The information recorded will include:

- applicant's name, address and solicitor;
- the decision to be reviewed;
- the respondents name, address and solicitor;
- other parties involved;
- date of the decision;
- date lodged, and
- type of review.

The system will generate a receipt for the applicant quoting the file reference number. It will also generate 'Notices of Application for Review of a Decision' for the respondent/s, setting out their requirements.

A preliminary conference may then be set down and details entered into the system which will generate the 'Notices of Preliminary Conference' for the parties. Details of any further conferences will be similarly processed until a hearing is scheduled. The system will record the date of the hearing, generate hearing notices for the parties and record the outcome.

The system will produce the daily case list and provide disposition and workload statistics for the Tribunal and Law Foundation. On-line enquiry facilities will be available to answer most enquiries.

The system will comprise of at least three workstations placed as follows:

- one for the Judge and Associate;
- one for the Registrar, and
- one for the support staff.

The system will need to be sufficiently flexible to process the various application types and to cope with any increases in jurisdiction and resulting business volumes. The AAT currently hears appeals for:

- Taxation review;
- Motor Accidents Tribunal;
- Freedom of Information disputes;
- Estate Agents Board;
- State Employees Retirement, and
- Crimes Compensation.

### 3. Information and Systems Requirements Addressed

The Tribunal Case Management System will address the following information and systems requirements:

(a) Implementation of computer systems and revised procedures which:

- eliminate the need to transcribe case data;
- eliminate manual registers and indexes;
- provide case enquiry facilities;
- electronically record judgments, and
- monitor Tribunal procedures and provide exception reporting whenever such procedures are not complied with.

(b) Implementation of computer systems and revised procedures which make efficient use of a Tribunal's resources by:

- recording case listing data, and
- recording case/event data.

(c) Provide timely and relevant information to support the effective operational management of Tribunals. This information will include statistical and exception reporting to enable early trend recognition.

(d) Provide judicial support by allowing judgments to be accessed electronically.

(e) Improve public access to the Tribunals by providing prompt response to enquiries.

(f) Reduction of storage requirements for case documentation by electronically storing case information.

(g) Minimise the number of forms by:

- maintaining forms control in the computer system;
- eliminating the need to keep stocks of pre-printed forms, and
- simplifying and standardising procedures as a result of the introduction of computerised systems.

#### 4. Interface Requirements

Attachment 1 illustrates the users, inputs and outputs to the Administrative Appeals Tribunal Case Management System.

#### 5. Prerequisites:

There are no prerequisites for this project.

#### 6. Implementation Approach

This project will be implemented in one stage consisting of the following tasks:

- Define system requirements;
- Evaluate available systems, possibly the system in use at the Planning Appeals Board;
- Select or custom develop system using a micro-based database system such as Dbase III, and
- Install system.

#### 7. Benefits:

The benefits, to be derived from the implementation of the AAT Case Management System will include:

- (a) Reduced need for additional staff with the expected growth in the jurisdiction of Tribunals;
- (b) More effective case management with the availability of exception reporting, statistical reporting and on-line case enquiry;
- (c) More case information available to effectively plan and utilise Tribunal resources, and
- (d) Reduced duplication and transcription of case details.

The savings to be derived from these benefits has not been quantified.

#### 8. Development Approach and Resource Requirements

The Tribunal Case Management System will be custom developed using a data base management system and associated fourth generation language (4GL). The system may be able to be adapted from the system in use at the Planning Appeals Board.

The estimated resource requirements are:

##### *Stage 1*

Design Duration—1 month

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-2 Analyst/Programmer	1	full time
CSO-1 Programmer	1	full time
A.A.T. staff member	1	1 day/week

Installation

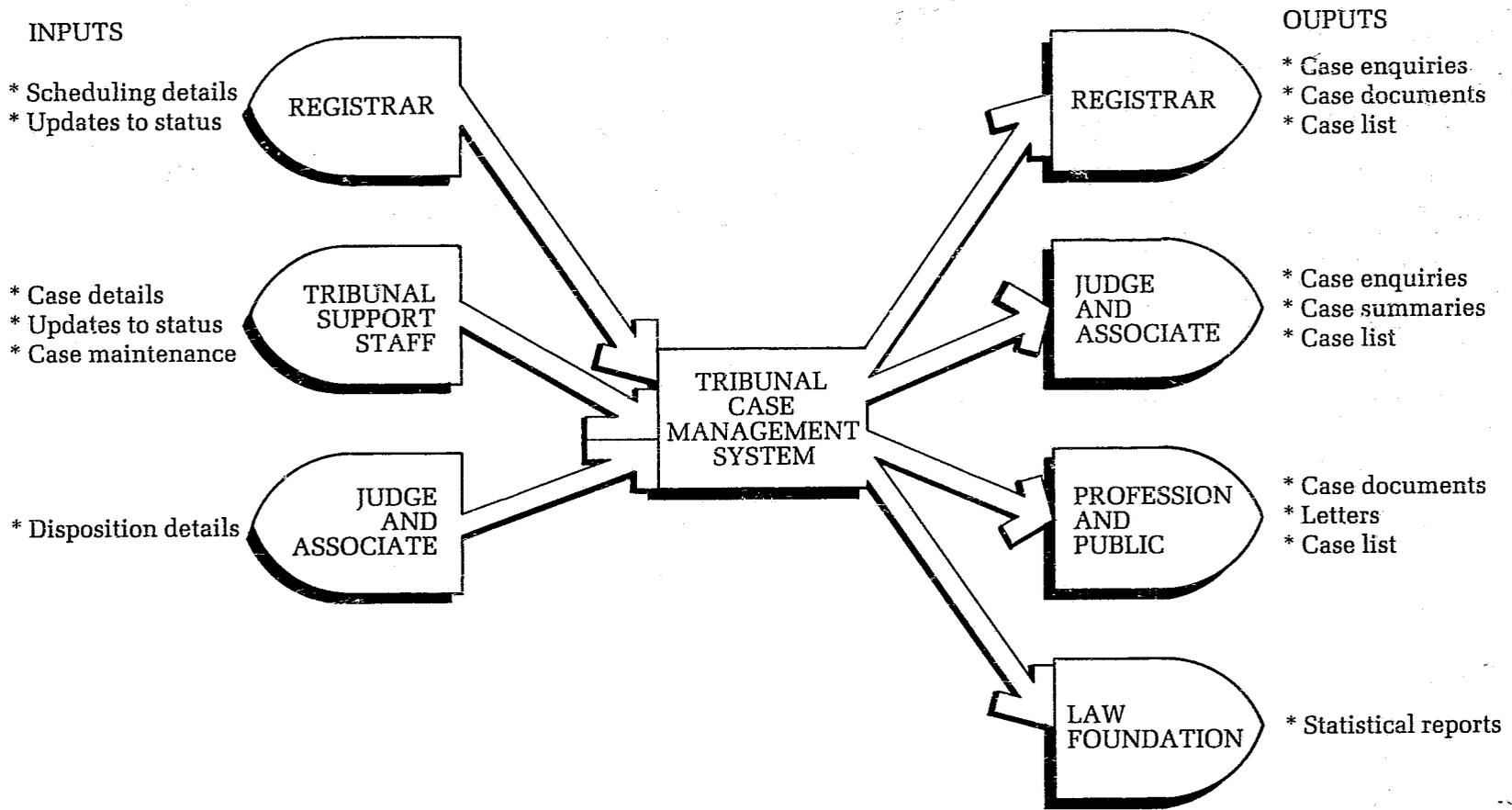
Duration—3 months

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<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-2 Analyst/Programmer	1	full time
CSO-1 Programmer	1	full time
A.A.T. staff member	1	1 day/week

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Summary of Users, Inputs/Outputs, Interfaces Tribunal Case Management System Attachment 1



# APPENDIX 3.10

## Project Description

### 1. System Title

Coroner's Case Management System.

### 2. System Scope

The Coroner's Case Management (CCM) System will address the requirements of the Coroner's Court in Victoria. The Coronial Services Centre will be linked to the central courts computer site. Terminals, micro-computers and printers will be located at the centre for entry and retrieval of case data. Access to the central system will be required in country areas as Coroner's cases can be dealt with at any Magistrates Court. In this instance case details will be entered and retrieved by using the computer facilities at regional centres. This access will be via communications link between the regional and central facilities.

The CCM system will provide an on-line facility for recording basic case details at the time of cadaver arrival. Basic case details such as the Report of Death (Form 83), Coroner's Deposition of Medical Practitioner and Certificate of Death will initiate a case in the CCM system. Additional information will be captured on-line as the case proceeds such as the Body Receipt Sheet, Affidavit of Identification and Post Mortem Report. Inquiry facilities will be provided to determine the status of a case as well as specific details relating to a case. At any stage in the case, the system will be able to print extracts, summaries or complete case files.

The CCM system will, on request generate relevant case documents. Details required to produce these documents will be derived from information stored in the CCM database. Examples of these documents would be the Certificate of Order for Burial/Cremation, Notice to Prepare Brief, Notice to Relatives.

A number of reports will be produced on a regular basis. Reports which will contribute to the overall co-ordination of the Coronial Services Centre—examples of these would be the Daily Work List which details cadavers requiring post mortems and a Cadaver Reconciliation Report which itemises cadavers received against cadavers released. Reports which monitor work in progress in the various laboratories (toxicology, histopathology and chemical pathology) will also be produced. Statistical reports will be produced both on a regular and on an ad hoc basis. For example a regular statistical report showing the breakdown of deaths reported to the Coroner. The CCM system will also be able to extract statistical information for interested parties requiring information about deaths which fit very specific criteria. The system will also be able to generate labels for slides, exhibits and samples.

The CCM system needs to pass and receive information from other agencies. These other agencies are Police, Health Commission, Government Statist Office, Commonwealth Bureau of Statistics, State Chemistry Laboratories

and Police Forensic Science. Ideally the transfer of data between these agencies and the CCM system should be electronic but at this stage not all of the agencies have their own system. An example of electronic transfer of data would be the Report of Death (Form 83) being transferred from the Police System to the CCM system.

To ensure that the integrity of the system held data is protected from corruption by misuse or abuse, all users will be allocated user identifications and passwords. The password and user identification will identify the functions that the user can perform. For example only Clerks of Court will be allowed to change the status of a case to indicate that a cadaver can be released. Therefore this function will be associated with each Clerk of Court's user identification and password.

The CCM system will be controlled by a procedure reference file which will ensure that all rules related to processing a cadaver are complied with. For example, an Attendant will not be able to produce a Certificate of Order for Burial or Cremation unless an Affidavit of Identification and Post Mortem has been completed.

### 3. Information and System Requirements Addressed

The CCM System will address the following identified system requirements:

- (a) Eliminate the need to continually transcribe data from one form to another.

Once the initial case details are captured they will not have to be entered again. If any form needs to be produced the basic data will already be present. For example, when the funeral director brings in the Request for Body Form, the case number, name of the deceased and the date are transcribed onto the Certificate of Order for Burial/Cremation from the Request for Body form. The CCM system will check that a Certificate can be issued and then initiate the printing of the Certificate. The name, case, number and date will be extracted by the system and printed on the Certificate. This procedure will reduce the amount of form filling that currently takes place and will apply to many documents and forms.

- (b) Eliminate the need to manually maintain registers.

As all details related to a case are entered onto the system a history of events is being formulated, as a result this will eliminate the need to keep manual registers.

For example, at present the Clerks of Court keep a Register of deaths reported to the Coroner in Melbourne, this register shows all the steps that a case may go through, at what stage the case is at and how long it has been static at one particular stage. The CCM system will maintain all this information therefore replacing the need to manually maintain the register.

In each laboratory at least one register is manually maintained by the scientists. The information which is recorded is mainly the basic case details and is the same across laboratories. With the new CCM system, all samples and exhibits which are to be distributed to the laboratories will be registered on the system in one central register and will apply for any of the laboratories.

- (c) Allow for electronic filing of documents.

Police will be able to enter the Report of Death (Form 83) into their Police system. Once complete the Police will transmit the information to the CCM system. This will allow the Police to electronically file the Report of Death from their police station without bringing the form to the court personally.

- (d) The system should record all causes of death and where appropriate pass this information electronically to other agencies.

The CCM system will record the cause of death (both the medical cause as established by the pathologist and toxicologist, and the cause of death registered with the Government Statist Office). The registration of deaths will be done once a week and the information will be transferred electronically to the Government Statist Office. Where other agencies need to be notified of a death, e.g. the Health Commission, initially it is envisaged that the system will utilise batch data transfer using magnetic tape or hard copy which will be physically transported to the external agencies.

(e) Statistical reports need to be prepared which monitor the overall performance of the Coronial Services Centre.

Statistical reports will be produced as required or on request. The system will automatically prepare information about the work performance of all areas of the Centre. The areas covered will be the courts area and the Victorian Institute of Forensic Pathology (V.I.F.P.) area. These statistical reports will detail such things as throughput, backlogs, at what stages cases are being held up, whether police are preparing their inquest briefs within the required time etc. All this information will be maintained by the system.

(f) Provide the public and other agencies with access to case documentation.

Within strict data security constraints the public and other agencies will be able to access case documentation. The CCM system will maintain security levels which will only allow outside users access to general information. Access to specific active cases will not be permitted, for example homicide cases. By providing access to outside users the number of inquiries to the courts will be reduced as the information will be collected by the outside user. For example, a solicitor on behalf of a relative may want information in relation to a case, this could be retrieved without actually contacting the court and waiting for them to provide the information. The information will be accessible either by using a terminal at the court or by connecting to a third party communications network using a micro-computer.

(g) Reduce the physical space required for storing historical case documentation.

While the new CCM system will reduce the number of documents being stored per case there will still need to be a physical file kept, to store diagrams and any documents requiring a signature. To store this information and historical case documentation in a more economic way (space wise) the paper files should be microfilmed, fished or image processed. The most current cases would not be stored this way until they had been inactive for a specified length of time.

(h) Minimise the need to keep large volumes of pre-printed forms.

The number of pre-printed forms used at the Coronial Services Centre will be reduced by maintaining forms control in the CCM system. The system will now hold the form and the staff at the centre will complete a formatted screen. Any basic details which are already stored by the system will automatically be inserted on the form, e.g. name, address, case number etc. This will apply to many forms currently used at the Court, e.g. Body Receipt Sheet, telephone message of death.

(i) Provide automatic interface with the Cash Management System.

The CCM system will automatically notify the Cash Management System if payment is required. This would apply to the payment of witnesses and if it was desired could be used for paying sessional pathologists and funeral directors. The actual payment would be made by the Cash Management System.

Sessional pathologists and government carriers (funeral directors) will become creditors in the Cash Management System. The cash system will issue payments to the creditors using a centralised cheque printing facility.

Payments to witnesses will be through the cash system or if required

witnesses will be issued with cash or handwritten cheques, the details of which will be entered into the Cash Management System.

(j) Provide assistance for scheduling inquests.

Using the information held by the CCM system an inquest date can be determined by taking into account, the estimated duration of the inquest, case type (e.g. homicide), current case load and due date for inquest brief.

(k) Provide facilities for data capture and retrieval.

Information related to a case will be entered on-line by staff at the Coronial Services Centre, except where the information is electronically transferred from external agencies. Data capture will be by using formatted data entry screens and word processing facilities.

Retrieval of information from the CCM system will be either by displaying the information on the screen or by printing the information. Information will be displayed by using a number of indexes such as case number, name of cadaver, date of birth, postcode, cause of death etc. Information will be extracted for printing using pre-defined report formats for statistics, daily lists, labels etc.

(l) Provide the facility to use coded information in post mortem and chemist reports.

The CCM system will provide a file of SNOMED, toxicology findings and cause of death codes and their associated text meanings. The codes will be used by pathologists and toxicologists when preparing their respective reports. When a code is used, the CCM system will access the file of codes and extract the text meaning of that code. Statistical analysis for reports and research can be performed using this coded information.

(m) Provide archiving facilities.

All cases will remain available for immediate access up to three years after its inactive date (that is, the case has been registered with the Government Statist Office). After 3 years the case will be transferred to magnetic tape. Cases on magnetic tape can be retrieved but access will not be immediate.

Attachment 1 illustrates the users, interfaces, inputs and outputs to the CCM system.

#### 4. Interface Requirements

The CCM System will need to or has the potential to interface with the following external agencies:

(a) Police system

Ideally the Police system will be able to send the Report of Death (Form 83) directly to the CCM system. It would be desirable to transfer to the Police system directly the Notification to Prepare Brief and other relevant documents.

The Police system at present resides on an IBM 4381 computer.

(b) Health Commission

Information sent to the Health Commission includes details of infant deaths, maternal deaths and deaths as a result of an infectious disease. There is a possibility that this information could be electronically transferred.

(c) Government Statist Office

The CCM system will pass electronically to the Government Statist Office the Registration of Death and Information of Inquest or Magisterial Inquiry details. This will be done at this stage by tape which must be produced in Burroughs format.

(d) State Chemistry Laboratories

If the Toxicology laboratory cannot analyse a sample or exhibit successfully they send the sample or exhibit details to the State Chemistry Laboratory. The toxicologists would like to send the information directly to the State Chemistry Laboratory and receive back the results directly.

As the State Chemistry Laboratories do not have a computer at present, any information passed between the Coronial Services Centre and the State Chemistry Laboratories will be in hard copy form.

(e) Police Forensic Science Laboratories

A possible future interface between the Police Forensic Science Laboratories and the CCM system was indicated.

(f) Commonwealth Bureau of Statistics

Information will be sent to the Commonwealth Bureau of Statistics in relation to death such as drownings, suicides etc. Initially this information will be transferred in hard copy form.

(g) Other

There is an interface between the CCM system and other agencies such as hospitals, RTA (Road Traffic Authority), DPP (Director of Public Prosecutions), Registrar General etc. Information transferred between the CCM system and other agencies will be either by magnetic tape or hard copy.

The CCM System will need to interface with the following internal systems:

(a) Cash Management System

The CCM system will pass information in relation to payments to the Cash Management system. The payments will definitely relate to witnesses, but may also be for the payment of sessional pathologists and funeral directors.

## 5. Prerequisites

The prerequisites for the CCM System are:

- (a) Design of the CCM system;
- (b) Development mainframe installed, and
- (c) Software environment created.

## 6. Implementation Approach

The CCM System will be installed in two phases:

Phase I            Installation of the CCM system in the Melbourne Coronial Services Centre.

Phase II           Installation of the CCM system in the regional centres.

## 7. Benefits

### *Direct*

- Reduced stationary costs;
- Reduced clerical effort in performing manual tasks (by clerical and professional staff);
- Reduced duplication of data, and
- Reduced backlog in Toxicology area (Actual backlog 150 cases representing 5 months; Target backlog = 60 cases representing 6 weeks).

### *Indirect*

- Ability to collate detailed and meaningful statistics;
- Significantly improved access to case data;

- More effectively plan and utilise court resources;
- Ability to provide an improved service to the public, legal profession, medical profession etc., and
- Ability to control the quality of data entering the system.

The savings to be derived from these benefits have not been quantified.

## 8. Development Approach and Resource Requirements

The development approach to be used in the implementation of the CCM System will consist of two phases, design and installation. The estimated resource requirements are as follows:

Design Duration—4 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	3 days/week
CSO-2 Analyst/Programmer	1	full time
Coronial staff member	1	4.5 days/week equivalent

Installation Duration—7 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CSO-3 Project Leader	1	3 days/week
CSO-2 Analyst/Programmer	1	4.5 days/week
CSO-1 Programmer	2	full time
Coronial staff member	1	4.5 days/week equivalent

Using these resources the project will be completed in 11 months.

These figures are based on the CCM System being custom developed using a fourth generation language (4GL).

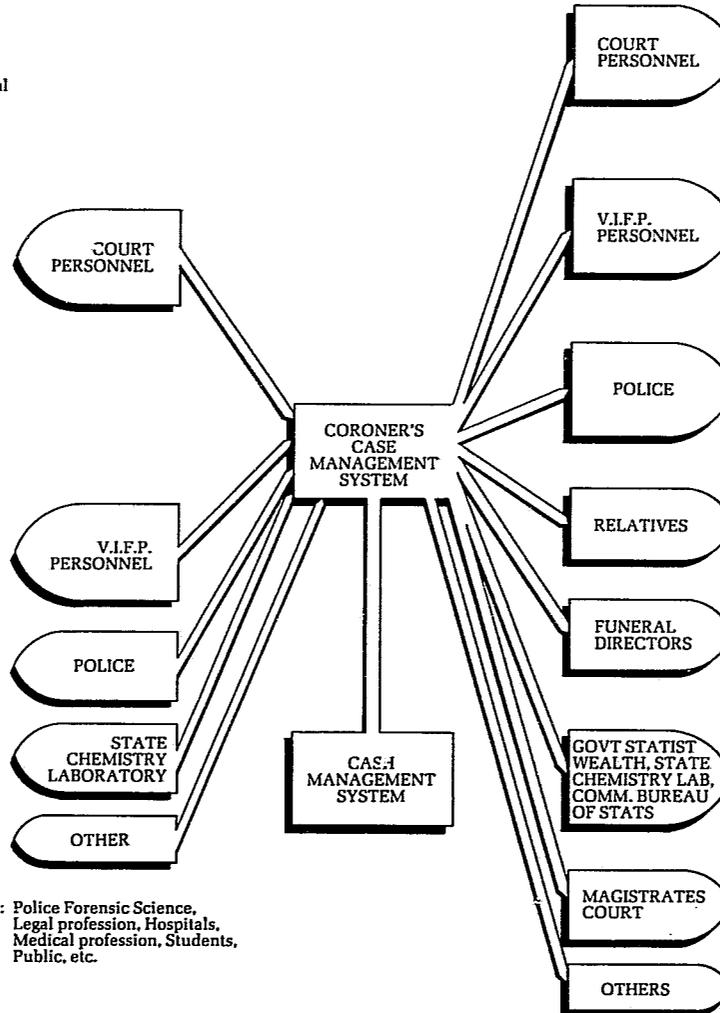
# Summary of Users, Inputs/Outputs, Interfaces Coroner's Case Management System

Attachment 1

## INPUTS

- \* Telephone message of death
- \* Coroner's deposition of medical practitioner
- \* Certificate of death
- \* Body receipt sheet
- \* Affidavit of identification
- \* Request for body
- \* Ordering post mortem and ancillary tests
- \* Cadaver release order
- \* Ordering of inquest
- \* Registration of death
- \* Reported cause of death
- \* Receipt of inquest brief
- \* Acknowledgement of notice of inquest
- \* Receipt of information form for registration of death
- \* Post mortem completed
- \* Inquisition
- \* General enquiry
  
- \* Post mortem report and amendments
- \* Chemist findings report and amendments
- \* Medical cause of death
- \* Registration of samples
- \* Registration of exhibits
- \* General enquiry
  
- \* Report of death (Form 83)
- \* General enquiry
  
- \* Results from sample and exhibit details
- \* General enquiry

\* Other represents: Police Forensic Science, Legal profession, Hospitals, Medical profession, Students, Public, etc.



## OUTPUTS

- \* Cadaver identification tag
- \* Daily list of cadaver reconciliation
- \* Daily list of incoming cadavers
- \* Weekly list of cadavers registered with the Govt. Statist Office
- \* Weekly list of unclaimed cadavers
- \* Yearly and monthly statistics on cause of death
- \* Works performance lists
- \* Answers to enquiries
  
- \* Post Mortem report
- \* Daily list of cadaver for post mortem
- \* Daily list of work received in the labs
- \* Labels for slides, samples and exhibits
- \* Work performance lists
- \* Answers to enquiries
  
- \* Notice to bury
- \* Notice to prepare brief
- \* Notice to witness
- \* Notice to relatives
- \* Summons to witness
- \* No inquest required notice
- \* Notice of inquest
- \* Answers to enquiries
  
- \* No inquest required notice
- \* Notice of inquest
- \* Interim death certificate
- \* Answers to enquiries
  
- \* Notice to return Information form for registration of death
- \* Certificate of order for burial
- \* Certificate of order for cremation
- \* Answers to enquiries
  
- \* Registration of death/Information of inquest or magisterial inquiries
- \* Infant death notification
- \* Maternal death notification
- \* Infections disease notification
- \* Sample and exhibit details
- \* Statistics on deaths
- \* Answers to enquiries
  
- \* Notice of committal for trial
- \* Certificate of bail
- \* request for information regarding bail
  
- \* Answers to enquiries

# APPENDIX 3.11

## Project Description

### 1. System Title

Drug Identification Register System

### 2. System Scope

The Drug Identification Register (DIR) System will be a support tool for the toxicologists at the Coronial Services Centre. The DIR system will maintain a register of analytical parameters associated with specific compounds/drugs. The DIR system will be micro-computer based as it does not relate to any of the other systems.

The system will provide facilities for Toxicologists to add new compounds to the register, amend existing ones and delete any out of date drugs.

Toxicologists will use the system to help them identify the compound they are analysing according to the properties it shows. Toxicologists will also be able to print out a list of all compounds or a selection of compounds in various sequences at any time.

### 3. Information and System Requirements Addressed

Initially the DIR System will contain approximately 500 compounds and their associated analytical characteristics. The facility will be provided for each compound to have multiple sets of approximately 29 characteristics. (This is because different testing techniques yield different results).

The DIR system will allow toxicologists to perform three major functions:

- (a) Maintain the Register
  - (i) Add new compounds
  - (ii) Modify compound characteristics
  - (iii) Delete compounds.
- (b) Enquire in the Register
  - (i) General enquiry
  - (ii) Best of fit selection enquiry.
- (c) Print the Register
  - (i) Print the entire Register
  - (ii) Print a selected portion of the Register.

The most important of these functions is the best of fit selection. While testing a substance for a compound the toxicologist will perform numerous tests, the results of which will indicate what the drug is. However certain drugs have either similar characteristics or the sample received at the laboratory may not show many characteristics because it is a poor sample. To assist the toxicologist in the identification of the compound, the parameter

information discovered during testing will be entered into the DIR system. The system will then search the Register and extract the compound/compounds which best fit the characteristics entered. The toxicologist will be provided with a short list of possible compounds, one of which could be the sample that is being tested.

The DIR system will allow the toxicologist to enter up to five parameters. It will also allow for compound selection based on the parameter falling within a certain range. For example the toxicologist may have a compound which has a protein binding percentage of fifty-two percent. In this instance it might be desirable to select all compounds which have a protein binding percentage of fifty-two percent, plus or minus ten percent.

The toxicologists will be able to add, modify and delete compounds by selecting the appropriate options from a menu screen, following instructions and filling in the formatted screen displayed. The same will apply for printing information from the Register.

#### 4. Interface Requirements

There are no interfaces to the DIR system.

#### 5. Prerequisites

The prerequisites for the DIR system are:

- (a) Selection of a micro-computer;
- (b) Installation of the micro-computer;
- (c) Establish network (when required);
- (d) Establish standards in use of development tools, and
- (e) Design the DIR system.

#### 6. Implementation Approach

The DIR system will be installed in one phase at the Coronial Services Centre.

#### 7. Benefits

- Increased productivity in the Toxicology Laboratory as compounds can be isolated in a shorter space of time.
- Reduce backlog in the Toxicology Laboratory. (Actual backlog = 150 cases representing 5 months; Target backlogs = 60 cases representing 6 weeks).

The savings to be derived from these benefits have not been quantified.

#### 8. Development Approach and Resource Requirements

The development approach to be used in the implementation of the DIR system will consist of 2 phases, Design and Installation. The estimated resource requirements are as follows:

Design and Installation Duration—3 months

<i>Resources</i>	<i>Number</i>	<i>Level of Involvement</i>
CS0-2 Analyst/Programmer	1	full time
Toxicologist	1	full time

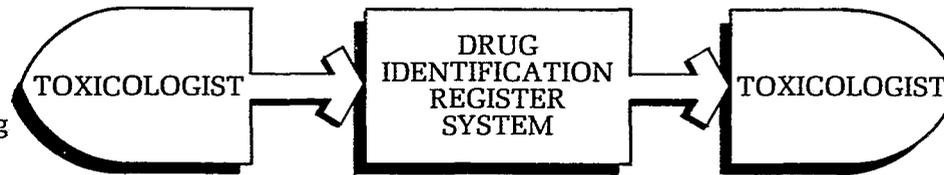
These figures are based on the CCM System being custom developed using a fourth generation language (4GL).

# Summary of Users, Inputs/Outputs, Interfaces Drug Identification Register System

Attachment 1

## INPUTS

- \* Initial list of compounds and the characteristics which identify them
- \* Modifications to existing compounds
- \* Characteristics for compound selection



## OUTPUTS

- \* List of compounds which best fit the parameters entered
- \* List of compound characteristics
- \* List of all compounds in the register and associated characteristics
- \* List of selected compounds and selected characteristics

# APPENDIX 3.12

## Project Description

### 1. System Title

Financial Reporting System

### 2. System Scope

The Financial Reporting System will address the financial management and reporting requirements of Courts Administration. This will include the financial management of all cost centres within the Administration of Justice Program. The system will provide Courts Administration with:

- (a) Financial reports from the Law Department Financial Management System, and
- (b) Computerised facilities to input budget estimates and produce performance reports against those budget estimates.

It has been assumed that this system will utilise the Financial Accounting and Reporting package selected for the Law Department.

#### *Financial Reports*

The financial reports will be structured in a way which is compatible with the requirements of Program Budgeting. Reports will be produced for Courts Administration overall as well as by individual cost centres.

The reports will include:

- Monthly expenditure reports for major Works and Services projects detailing current funds allocation, actual expenditure to date and projected full year expenditure.
- Monthly expenditure reports for recurrent expenditure. These will include a breakdown of the budget allocation, funds committed, actual expenditure, full year projections and variations against budget allocations. Items will include:
  - Salary expenses
  - Operating expenses
  - Travelling
  - Office requisites
  - Postal and Telephone
  - Motor Vehicles
  - Fuel, light and power
  - Incidentals, and
  - Other Services

Attachment 1 illustrates the chart of account structure required to support program budgeting and responsibility reporting.

### *Budget Estimates*

The system will provide a financial modelling facility to assist cost centre managers prepare estimates and budgets.

Once the budget estimates have been prepared, the system will produce summary reports to assist Courts Administration management allocate priorities to requests for funds. Summary estimates will then be produced for the whole program.

The system will provide Courts Administration with the facility to closely monitor overall capital and recurrent expenditure, by cost centre and, where appropriate, by jurisdiction. It will provide the facility to exercise tighter control over expenditure.

## 3. Information and System Requirements Addressed:

The financial reporting system will address the following information and systems requirements:

(a) Implementation of a computer system which monitors overall capital and recurrent expenditure within both the various cost centres and for the Administration of Justice Program:

- by providing monthly reports monitoring actual expenditure, committed funds and full year predictions, and
- by providing facilities for the preparation of cost centre estimates, budgets and financial modelling.

(b) Implementation of computer systems and revised procedures which:

- support the effective financial management of proposed regional structure of the courts, and
- records data in a format compatible with the requirements of program budgeting.

(c) Implementation of a computer system and revised procedures which make efficient use of resources within the courts system by:

- providing timely and relevant information to support the effective financial management of the courts, and
- electronically recording and disseminating data.

Attachment 2 illustrates the interfaces, inputs and outputs to the Financial Reporting System.

## 4. Interface Requirements

The Financial Reporting System will interface to the Cash Management System. The following data will be captured for reporting purposes:

- (a) revenue generated from issuing and filing fees and other costs and charges;
- (b) a summary of collections paid to the Consolidated Fund and prosecuting agencies, and
- (c) details of payments by the Crown to witnesses and jurors.

## 5. Prerequisites

The major prerequisite is the selection of a Financial Accounting and Reporting package for the Law Department.

The project also requires central computer facilities to be available and the communication network to be in place at least at a regional level.

## 6. Implementation Approach

The first stage of the project will involve the evaluation and tailoring of a Financial Accounting and Reporting system for the Law Department to replace the present FRAR system.

The second stage will involve the implementation of the system initially at Courts Administration level and then at cost centre level.

## 7. Benefits

The benefits which will accrue from the implementation of the Financial Reporting System are:

- (a) A significant reduction in the direct effort required to produce management reports and prepare budget estimates.
- (b) Improved access to management information by authorised persons both at Courts Administration level and cost centre level.
- (c) Improved budgeting and potential for improved control over expenditure by providing cost centre managers, including regional managers, with current information concerning the expenditure for which they are accountable.

The savings to be derived from these benefits have not been quantified.

## 8. Development Approach and Resource Requirements

No specific resource requirements have been estimated for this project as it will be completed as a Law Department project.

FINANCIAL REPORTING SYSTEM  
REQUIRED CHART OF ACCOUNT STRUCTURES

PROGRAM	SUB-PROGRAM	COMPONENT	LINE ITEMS
	Executive and Administrative Services	Courts Services Courts Operations Buildings & Property Court Reporting Service Government Shorthand Writers	Recurrent Expenditure Salary Expenses Salaries Overtime Long Service Leave Ex gratia payments SERB contributions
ADMINISTRATION OF JUSTICE	Administration of Justice—Criminal Jurisdiction	Supreme Court Criminal Jurisdiction County Court Criminal Jurisdiction Magistrates Court Criminal Jurisdiction Childrens Court Coroners Court Criminal Trial Listing Directorate	Operating Expenses Travelling Office expenses Books & publications Postal & telephone Motor vehicles Fuel, light & power Incidentals EDP expenses Coroner's Court supplies
	Administration of Justice Civil Jurisdiction	Supreme Court Civil Jurisdiction County Court Civil Jurisdiction Magistrates Court Civil Jurisdiction Bailiff's Services	Other Service Laboratory Service payments Post mortem expenses Witnesses expenditure Jurors expenditures Court reporting Refund of jury fees Cost of execution of warrants Refund of execution fees Superannuation Supreme Court Library contributions Honorary Justices Grant

# Summary of Users, Inputs/Outputs, Interfaces Financial Reporting System

## INPUTS

- \* Budget adjustments
- \* Historical data

FINANCE AND ACCOUNTING DEPARTMENT

REGIONAL AND COST CENTRE MANAGERS

- \* Budget estimates

FINANCIAL REPORTING SYSTEM

FINANCIAL ACCOUNTING SYSTEM

DIRECTOR OF FINANCE

COURTS ADMINISTRATION MANAGEMENT

REGIONAL AND COST CENTRE MANAGERS

- \* Actual expenditure

## OUTPUTS

- \* Financial reports
  - Budget estimates
  - Revised estimates
  - Forward look estimates
  - Monthly performance reports

- \* Financial reports
  - Budget estimates
  - Revised estimates
  - Forward look estimates
  - Monthly performance reports

- \* Monthly performance reports (actual versus budget)

# APPENDIX 3.13

## Project Description

### 1. System Title

Personnel Management System

### 2. System Scope

The project will address the requirements of a human resources management system. It will maintain personnel data for all personnel within the Courts Division of the Law Department and summarise this data for management reporting purposes. The system will support the changed emphasis from planning for human resources based on staff numbers to salary management planning. The system will replace existing manual systems and encompass the entire Law Department personnel system requirements.

This project description assumes that a centralised payroll system, such as PAYCOST will continue to be used to support the payroll function of the Courts Division. The personnel management system will need to be integrated with the payroll system to provide effective management reporting.

Major processing functions of the system will include:

- (a) Maintenance of employee information including:
  - Personal details i.e. name, address, date of birth, sex, etc.
  - Chronological work history covering recruitment, promotion and transfers
  - Leave history (annual, long service and sickness)
  - Performance appraisal ratings
  - Wage and salary details
  - Position
  - Job description (duties and qualifications)
  - Skills and training inventory
  - Workers compensation;
- (b) On-line access to personnel data for authorised individuals, and
- (c) Regular reports which support the effective planning and management of human resources.

The system will maintain job descriptions for each position within the Law Department and details of the assignment of personnel to these positions. Within the Courts Division, the system will maintain details of all positions allocated to each court region and jurisdiction by position classification.

As each employee joins the Law Department all personnel details will be entered into the system which will maintain complete chronological

histories of each employee including duties performed, promotions, education, courses attended and skills obtained.

The system will maintain leave and attendance records, wages and salary details, benefits and deductions, performance and approval ratings and workers compensation claim details.

Enquiry facilities will be available by name, employee number, position, location, and skills and qualifications. Access to the data will, however, be subject to strict security controls. Access will be restricted to authorised personnel as well as to specific data.

### 3. Information and System Requirements Addressed

The requirements addressed by this system are:

- (a) eliminate the multiple handling of documents—once personnel details are entered they will be available to all authorised users;
- (b) eliminate the requirement to continually transcribe data from one document to another—as for (a);
- (c) eliminate the requirement to manually maintain files and cross references to files—the system will automatically maintain multiple indices to the personnel data which will then be accessible to authorised personnel.
- (d) electronic integration with the Law Department personnel system—Courts Division personnel data will form part of a Law Department system which will be integrated with a Payroll system;
- (e) effective management of all personnel employed within the Courts Division—system will provide information to support this requirement, and
- (f) the automatic production of statistical reports.

Attachment 1 illustrates the users, interfaces, inputs and outputs to the Personnel Management System.

### 4. Interface Requirements

The Personnel Management System will interface to a Payroll System.

### 5. Prerequisites

The major project prerequisites are:

- a requirements definition to select an appropriate personnel management package.

### 6. System Phases

The project will be completed in the following phases:—

- Requirements definition;
- Evaluate and select appropriate package, and
- Implement system.

It is assumed that the Courts Division personnel system will be implemented as part of the Law Department personnel system.

### 7. Benefits

*Direct:*

- Reduced manual effort in maintaining employee records and in the preparation of personnel reports, and

- Eliminate the duplicate recording of data.

*Indirect:*

- Provide support for the proposed regional structure of courts;
- Improved accuracy of personnel records;
- Improved ability to assess employee performance and potential;
- Compliance with existing Central Agency reporting requirements and flexibility to meet new requirements;
- Improved employee relations;
- Improved ability to budget human resource requirements, and
- Better ability to respond to ad hoc personnel enquiries.

The savings to be derived from these benefits have not been quantified.

## **8. Development Approach and Resource Requirements**

No specific resource requirements have been estimated for this project, as it will be completed as a Law Department project.

# APPENDIX 4

## Corporate Data Model

The corporate data model illustrated on the following page depicts the major data requirements, and their interrelationships, for the Law Courts as determined by the project team.

This data model will be used as a starting point for data analysis tasks in subsequent systems design projects and for application software.

Most of the data entities within the data model are self explanatory concerning the type of information they represent. For those data entities that require further explanation, the following notes are provided:

1. The JUDICIAL STAFF entity includes any person performing judicial functions such as:

Justices, Judges, Magistrates, Masters and Clerks.

2. The PARTICIPANTS entity includes all persons involved in a case such as:

Plaintiff, Complainants, Informants, Defendants, Solicitors and Witnesses.

3. The EXHIBITS entity would contain such information as:

- Description of exhibit;
- Location of exhibit;
- The name of the Party the exhibit is used by;
- Retention date, and
- Date received.

4. The DOCUMENT entity would contain details of all documents either generated or received by the courts systems.

# Summary of Users, Inputs/Outputs, Interfaces Personnel System

