

Public Investment Plan (PIP)

Name:	E-filing and Document Management System - DMS
Convener:	Criminal Court Clerk's Office
Contact:	Howard Gentry, Jr. – Criminal Court Clerk
Mayor's Priority Area :	Public Safety

1. Briefly describe the issue or problem addressed by the investment plan:

Davidson County currently houses, processes, and retrieves more court related documents than any other county in Tennessee. Many records in archives date back to the 19th century for the Criminal Courts and many juvenile records date back to the early 20th century. As the official custodian of the record, we are required to maintain, track and locate files throughout the court process, as well as locate the files upon completion of court. Each case file is touched numerous times from initial appearance through final disposition and there is always an opportunity for a file to be misplaced. Namely, the files are touched by judges, lawyers, judicial officers, clerks, the media, bondsmen, and the public. Due to the volume in the courts, it is also imperative that we protect the case files from destruction by an intentional act or by natural disaster (i.e., flood, fire, etc.).

Metro Government is rapidly running out of storage space to store documents. The various court systems in Davidson County are generating a lot of excess paper via court filings, which contribute to files that have to be maintained and warehoused, in many instances on an indefinite schedule. Also, our experience from the 2010 flood highlighted the importance of having the capability to reproduce documents electronically. For example, the Juvenile Court Clerk's office alone spent \$1,186,427.00 in document restoration for approximately 25% of the files which were damaged by flood waters. A few quick points to consider below:

- The volume of documents demands a great need of costly physical space in which to be stored
- The files are stored in several locations making retrieval tedious, time consuming, and costly
- If a document is incorrectly filed, and can be lost forever
- If a document or file is in someone's possession, no one else has access to it
- Paper documents are at risk of being misplaced
- Paper documents deteriorate over time
- Paper documents are at risk of being damaged or destroyed by disaster
- There are no backups of paper files

2. How does the plan solve the stated problem?

The proposed E-filing project will give the Criminal, Circuit, and Juvenile Courts a uniform method to e-file all approved documents with the respective courts. Since these documents would be stored electronically, it will save a lot of storage space which is in great decline within Metro Government. This method of filing documents would considerably reduce the need for parties to make a personal appearance to file documents with the Courts. This project would also protect the respective courts from any type of disaster where files could possibly be destroyed.

Once case files are in an electronic format, there is a need for a Document Management System (DMS) to manage the flow of those documents. The DMS will improve the entire criminal justice system, as well as how the public receives information from the courts. In FY15 alone, over 93,000 warrants/citations were processed by the Criminal Court Clerk's Office. Each particular document has its own significance. Some of the items in the file folder include: Conditions of release, 12 hour hold documents, mittimus, judgment, bound over sheet, motions, continuance orders, and set asides. With the DMS in place, we will be able to explore other areas and potentially implement new court technologies that will improve the justice system as a whole.

This solution will integrate an E-filing system and document management system into the already existing, integrated case management system. By doing so, all case management data will be leveraged, greatly reducing data duplication, time, and data entry errors. A few quick points to consider below:

- An E-filing system will enable parties to file documents remotely eliminating the need for numerous trips to the Clerks' offices
- Utilizing the same E-filing system will enable users the ease of going to one place to file documents electronically in Davidson County, regardless of the Court
- All documents will be stored electronically and backed up
- The need for physical storage of documents will be eliminated
- The document management system will enable searches on documents that are not possible when done manually
- The possibility of losing a document through misfiling or misplacing becomes obsolete

3. Why is this the right time to implement this plan?

E-filing is widely used in Federal Courts. Since the Circuit Court Clerk is prepared to move forward with his own E-filing solution as early as July 1, 2016, now is an opportune time for the Criminal and Juvenile Clerks to collaborate with the Circuit Clerk in an effort to leverage dollars that are going to be spent. Theoretically, Metro should be able to broker a better deal if these three court systems work in concert on this effort.

Nashville is a leader in court technology, and has been at the forefront of integration for twenty years. Many jurisdictions are implementing E-filing capability today for all of the reasons mentioned above, and it is a natural service that courts today in larger jurisdictions are almost expected to provide. Nashville is in a much better position than most jurisdictions to implement this functionality, as the underlying ability to accept filings electronically and move documents throughout the court system exists today, where it does not in many jurisdictions. In addition, the volume of documents in Davidson county far exceeds that of other counties. As these continue to be stored electronically, they need to be properly managed using a document management system.

4. What current processes address the issue?

Currently, parties are required to appear in person to file most documents with the court. There are some instances whereby parties are able to fax documents to the respective courts; however, this is being done on a limited basis and is rather expensive for the filer. Once filed these documents are processed, managed and temporarily housed on site by the Clerks until they are warehoused at Metro archives on a designated schedule.

Although we can currently view some images in CJIS in the Criminal Court Clerk's Office and many images in JIMS in the Juvenile Court Clerk's Office, these are tied to the case and/or person. There is still the risk of them being attached to the wrong record. There is no system that can properly manage and route these documents that are electronically stored. Documents that are not currently electronically stored are managed manually and the process is very time consuming, with a daily risk of losing files. Filing of documents is a completely manual process which requires anyone needing to file a document to do so in person at the Clerk's office, and Clerk personnel manually entering that data into the system, processing, scanning, and filing the paper document.

5. What problems and inefficiencies have been identified with the current processes?

Parties who are certain about the content of their documents would not have to make a trip to either Clerk's office to have them filed; they could be handled electronically. Given the electronic age in which we exist, it is unnecessary for all parties to make a personal appearance at the Clerk's office to simply file documents when they need no assistance. Also, the large volumes of paper that have to be manually processed, housed, maintained, stored, and eventually moved to a permanent location would be significantly reduced. This would allow deputy clerks to focus more of their attention on case management, customer service and more pressing issues associated with the office of the Clerk

Some of the problems and inefficiencies that have been identified with the current processes revolve around the

location of misplaced files. Due to the nature of the Criminal Court Clerk's Office, it is impossible to recreate signed documents and warrants.

6. List all proposed participants including:

- **Internal Partners**
- **External Partners (Nonprofits, Non-Government Organizations, Community Organizations)**

The participants for this project would be the Circuit, Juvenile, and Criminal Court Clerks along with Justice Integration Services. The Office of the District Attorney would also benefit from this new process.

- Public Defender
- Judges
- Nashville Bar Association
- Legal Aid
- Sheriff
- Pro Se Litigants
- Hospitals for Medical Record filings
- Child Support Services
- Possibly, Jean Crowe Advocacy Center, Night Court, Police Department, Morning Star if it is decided that it is beneficial for Juvenile, Circuit and Sessions to implement the Domestic Violence Wizard that is an optional feature of the E-filing system.

7. Briefly define the individual roles of each participant in each year of the project

JIS will integrate the product with the current case management systems so that data is entered once at the source and flows seamlessly between applications. JIS will continue to maintain the system moving forward.

Each of the three clerks would implement E-filing in their respective courts. The roles of each participant would remain virtually the same barring any new technology that might be introduced in the future.

8. Total Length of Project in Years

Project implementation will take approximately 8 to 10 months and the project would last indefinitely.

9. Provide a brief explanation below of the actions that will be taken to implement the project in each year

Year 1	Year 1 would involve approximately 8-10 months of building, installing, training, and testing of the system. Full implementation would occur sometime at the end of year 1.
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	Webservices will then be built to integrate all of the systems together seamlessly.
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Year 2	Fully implemented.
Year 3	Fully implemented
Long Term	Fully implemented and ongoing indefinitely.

10. Please explain why this collaborative approach more effectively addresses the identified issue compared to existing individual efforts

This collaborative approach would be more effective because the Circuit Clerk is moving forward regardless of any action or inaction by the Criminal and Juvenile Clerks. Any dollars being spent should be leveraged to the highest extent possible. It also makes sense to for all Davidson County Courts to be on a uniform system since constituents often have business in more than one court system.

11. Briefly summarize the additional resources (funding, staffing, training, etc.) needed by all participants in order to successfully implement the plan.

JIS will be taking on the task of building the links between the systems to provide full integration. This process will necessitate a full time employee, dedicated to this project for 8 to 10 months. This is by far a much more efficient and cost effective approach as JIS is already familiar with the data layout and is skilled in the integration of the existing systems.

Resources needed for this project would be additional funding for all participants to cover initial set-up costs, licensing fees, training, testing, and maintenance. The best estimate we have at this time for E-filing and document management for the 3 court systems is \$1,250,000. There will be an annual software maintenance fee of \$56,000 (for all three court systems).

12. If applicable, briefly describe how your proposed project will achieve cost savings, revenue gains and/or service improvements? Please provide detailed financial data in the attached spreadsheet.

This project will present savings in several ways: (1) less storage space will be needed since files will be in an electronic format; (2) supplies such as paper, ink, and toner will be drastically reduced which in turn reduces the need for as many copiers which have leases attached as well as expensive maintenance; (3) staff time assisting customers at the various service windows which will allow their time to be re-allocated to other pressing matters which will enhance customer service. A few quick points to consider below:

- The documents and records will be more secure.
- This will enhance the services to the Attorneys/Parties ability that will be able to access and file in the Clerk's Offices 24/7 without incurring any additional cost. It will eliminate any mailing delays for filings that have time-sensitive deadlines for filing.
- The E-filing solution will provide Attorneys/Parties with a feature to electronically maintain access and status of the documents that they have e-filed.
- The E-filing solution will also provide more services to the Judges and Judge's staff allowing them to have 24/7 access to files/documents and will also allow them to prepare for dockets more efficiently.

13. How will success be measured and in what years of the project will it become measurable?

Success will be immediately realized with the reduction in foot traffic to the various clerk's offices, office supply levels will be trimmed, file storage will dramatically decrease, and staff time will be re-apportioned to other duties. These benefits will be immediately enjoyed.

14. How many citizens will this project impact?

All customers, litigants and clients of the court system will potentially be impacted by their ability to access the court's services from the comfort of their home or office. Obviously, everyone will not take advantage of this service; however, it will be available to the public.

15. What benefits or improved services will the citizens of Davidson County receive as a result of the plan?

The benefits to the citizens of Davidson County will be as follows: saving time and money used to take off work, gas mileage to travel to the clerk's office, 24/7 access to filing documents, eliminating excess downtown traffic, and fewer fees for downtown parking.

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Name of Collaboration: E-Filing and Document Management Project

	Dept. Name	FY2017			FY2018			FY2019			FY17-FY19 GRAND TOTALS		
		Operating PIP	FTE PIP TOTAL	Capital PIP TOTAL	Operating PIP	FTE PIP TOTAL	Capital PIP TOTAL	Operating PIP	FTE PIP TOTAL	Capital PIP TOTAL	Operating PIP	FTE PIP TOTAL	Capital PIP TOTAL
Department/External Partner A:	Crim. Court Clerk	250,000	-	-	9,333	-	-	9,333	-	-	268,667	-	-
Department/External Partner B:	Juv. Court Clerk	250,000	-	-	9,333	-	-	9,333	-	-	268,667	-	-
Department/External Partner C:	JIS	250,000	-	-	9,333	-	-	9,333	-	-	268,667	-	-
Department/External Partner D:	Circuit Court Clerk	500,000	-	-	28,000	-	-	28,000	-	-	556,000	-	-
Totals:		1,250,000	-	-	56,000	-	-	56,000	-	-	1,362,000	-	-

Current Level of Funding (Operating and Capital)								
	Dept. Name	Fund	Budget Category	Budgeted Positions/ FTE	Budgeted FTEs	Operating Amount	Capital Budget	Capital Resolution Number
Department/External Partner A:	Criminal Court Clerk	10101						
Department/External Partner B:	Juvenile Court Clerk	10101						
Department/External Partner C:	Justice Integration Services	10101						
Department/External Partner D:	Circuit Court Clerk	10101						
Totals:				0	-	-	-	-

Requested Level of Funding For Fiscal Year 2017 (Operating and Capital)								
	Dept. Name	Fund	Budget Category	Requested Positions	Requested FTEs	Operating Funding Request	Capital Funding Request	
Department/External Partner A:	Criminal Court Clerk	10101	Software/Equipment \$750,000 to purchase system			250,000		
Department/External Partner B:	Juvenile Court Clerk	10101				250,000		
Department/External Partner C:	Justice Integration Services	10101				250,000		
Department/External Partner D:	Circuit Court Clerk	10101				500,000		
Totals:						1,250,000	-	-

Requested Level of Funding For Fiscal Year 2018 (Operating and Capital)								
	Dept. Name	Fund	Budget Category	Requested Positions	Requested FTEs	Operating Funding Request	Capital Funding Request	
Department/External Partner A:	Criminal Court Clerk	10101	Software/Annual Maintenance Fee \$28,000			9,333		
Department/External Partner B:	Juvenile Court Clerk	10101				9,333		
Department/External Partner C:	Justice Integration Services	10101				9,333		
Department/External Partner D:	Circuit Court Clerk	10101				28,000		
Totals:				0	-	56,000	-	-

Requested Level of Funding For Fiscal Year 2019 (Operating and Capital)								
	Dept. Name	Fund	Budget Category	Requested Positions	Requested FTEs	Operating Funding Request	Capital Funding Request	
Department/External Partner A:	Criminal Court Clerk	10101	Software/Annual Maintenance Fee \$28,000			9,333		
Department/External Partner B:	Juvenile Court Clerk	10101				9,333		
Department/External Partner C:	Justice Integration Services	10101				9,333		
Department/External Partner D:	Circuit Court Clerk	10101				28,000		
Totals:						56,000	-	-

Potential Revenue Generated from Collaboration						
	Dept. Name	Fund	Revenue Category(OA)	Revenue Source	Revenue Amount	Fiscal Year Collected
Department/External Partner A:						
Department/External Partner B:						
Department/External Partner C:						
Department/External Partner D:						
Totals:					-	-