Business Case

(Work Samples)

Document Control

Document Information

	Information
Document ID	
Document Owner	**Rickie Hui**
Issue Date	**5/23/2013**
Last Saved Date	**5/23/2013 10:32 PM**
File Name	**Business Case.pdf**

Document History

Version	Issue Date	Changes
1.0	**5/23/2013**	**Initial Version**

Document Approvals

Role	Name	Signature	Date
Project Sponsor			
Project Review Group			
Project Manager			

Table of Contents

1. EXECUTIVE SUMMARY

According to "the implementation of project under Information Technology Strategy Plan (ITSP) of the Judiciary" discussed at the Legislative Council Panel on Administration of Justice and Legal Services on 26 February 2013, it was requested to seek members' support and approve the six year action plan of the project. If there are no further objection or comments of the action plan and the project, we would like to start to prepare the business cases and project charter to start the project.

The Judiciary conducted its first Information Systems Strategy Study about twenty years ago. Based on the recommendation then formulated, the Judiciary set up its Information Technology ("IT") infrastructure and implemented a series of application systems to support its operations.

In 2011 to 2012, the Judiciary conducted another round of Information Systems Strategy Study ("ISSS") to formulate an up-to-date and comprehensive strategy plan on the use of IT in support of its operations for the coming ten years and beyond.

The Judiciary engaged a consultancy firm for conducting the ISSS. The consultants reviewed the current state of use of IT in the Judiciary and identified the improvement areas to keep pace with the development of information technology and to meet the projected operational needs of the Judiciary. With the input of the Judiciary and extensive consultation with the internal and external stakeholders, the consultants envisioned the to-be state on the use of IT in the Judiciary in the coming decade and made recommendations on business processes and the enabling IT infrastructure. As a major deliverable under the ISSS, the consultants have prepared an ITSP which sets out the recommendations on the IT direction for the Judiciary in the long term. It specifically includes a Six-year Action Plan which draws up a portfolio of IT projects and activities for the Judiciary to take forward in the implementation of the ITSP.

The Judiciary has accepted the ITSP and the Six-year Action Plan recommended by the ISSS. The Judiciary agrees with the findings of the ISSS that there is an immediate need for the Judiciary to replace the existing systems to ensure sustainable operation in the long run.

2. BUSINESS PROBLEM

The following section describes Judiciary's current business situation.

2.1. ENVIRONMENTAL ANALYSIS

There are at present 62 application systems supporting the day-to-day operation of the Judiciary. There are ten separate case management systems serving all level of courts and

tribunals. These systems are critical to the courts and registries operations. There are 24 court-related systems providing support for court-related services such as the bailiff service and the jury services, etc. The remaining 28 systems provide support for various administrative functions in many areas, e.g. financial, human resource and office automation areas. Over the years, these systems as well as the IT infrastructure have been enhanced and updated from time to time to cater for new requirements. The Judiciary's IT infrastructure and application systems have been able to provide support at the basic level of service. However, it nearly reaches the limitation further provide more effective and efficient services of a higher quality to all stakeholders in support of the administration of justice.

2.2. PROBLEM ANALYSIS

The finding of ISSS are identified the following areas for improvement -

1. **Sustainability**: Many of these application systems have been used for many years. The overall architecture design is becoming obsolete and hence synchronization with the latest developments of technology and user expectation is required. The aging issues have also resulted in increasing demand for resources to support the systems and to handle their compatibility with other hardware and software components. It is necessary for the Judiciary to replace these application systems to ensure sustainable operation in the long run.

2. **Need for standardisation:** The case management systems are the core application systems in the Judiciary. There are ten case management systems, each is separate from each other, maintaining information of cases of a particular court level. The systems were originally designed to operate in standalone mode. There is also a disparity in functions across the systems at different levels of courts and tribunals. As a result, the ways in which data are defined, captured and used are not standardised among systems. Over the years, interface mechanisms have been built to facilitate limited data exchange among systems to support transfer of case and processing of appeals. Owing to the disparity of data definition, structure and usage, data exchange among systems still requires duplicate inputting efforts and additional resources. It has also caused difficulties for the Judiciary in generating reports and compiling statistics based on data maintained in different systems.

3. **Need for functional enhancement:** The existing systems only provide limited functions and many work processes are still being performed manually. Enhancements to various systems have been made from time to time to cater for changes in legislative and operational requirements. However, the outdated design of some of the applications has

been a hindrance for implementing major system enhancements. This has in turn limited the capability of the Judiciary in making use of IT to improve efficiency of operation and provide better support to court users.

4. **Need for better support to stakeholders:** There is limited IT support to facilitate the Judges and Judicial Officers and other court users in the litigation processes. Currently, the court processes are in many ways operated manually under a paper-based environment. Court users have to attend court registries in person to submit documents, to make payment and conduct other court processes. Judges and Judicial Officers, Judiciary staff, parties and their legal representatives, as well as litigants-in-person ("LIPs") have to handle paper documents in the entire span of a litigation process. There are increasingly more complicated cases with large volumes of bundles which are not easy to transport, store and use. Although most of the bundles may have been prepared by electronic means, the efficiency achievable by the use of electronic documents cannot be realised under the current paper-based environment.

As there is no other viable alternative to the implementation of the Six-year Action Plan and there is an immediate need for the Judiciary to replace the existing systems to ensure sustainable operation in the long run, Judiciary would like to conduct preliminary project studies and other preparatory works such as the setup of the enterprise data model, infrastructure, and other foundation components for above suggestions of improvement areas of organization.

3. ALTERNATIVE SOLUTION

As Judiciary conducted Information Systems Strategy Study to formulate comprehensive strategy plan on the use of IT in support of its operations for the coming ten years and beyond, it's not required to provide another options for justification. So, the alternative solutions just compare what happen if 'Do Nothing' be enough.

These alternative solutions are described in the following sections.

3.1. OPTION 1

Do Nothing

3.1.1. Detriment

- Many of these application systems have been used for many years. The overall architecture design is becoming obsolete and hence synchronization with the latest developments of technology and user expectation is required. The aging issues have also resulted in increasing demand for resources and highly cost to support the systems and

to handle their compatibility with other hardware and software components.

- The existing systems only provide limited functions and many work processes are still being performed manually. Enhancements to various systems have been made from time to time to cater for changes in legislative and operational requirements. However, the outdated design of some of the applications has been a hindrance for implementing major system enhancements. This has in turn limited the capability of the Judiciary in making use of IT to improve efficiency of operation and provide better support to court users.

- The Judiciary will have to explore other means to replace the systems, perhaps by planning the replacement at project level. As such the targets of achieving standardisation of work processes and greater synergies in the Judiciary's operations will be difficult to achieve.

3.2. OPTION 2 (RECOMMENDED SOLUTION)

***Plan and prepare the foundation components of organization* which can achieve all the needs for long-term IT direction of Judiciary i.e. Map out the high level design of the application landscape, the data architecture, the security features and the IT infrastructure for enabling the provision of IT support for the future operation.**

3.2.1. Description

Based on the ITSP proposed solutions, the suggestions can be divided into five improvement areas shown as below:

Area 1: Infrastructure

- **To support core integrated court system and non-court system requirement and Web Portal Enterprise:** The infrastructure of Judiciary should be support integrated Court Case Management System and Non-court System. Web Portal let stakeholders easy to find required information through enterprises database and applications.

- **To support workflow and document management system:** Currently, the count processes are in many ways operated manually under a paper-based environment. In order to improve IT support for stakeholders in the litigation processes, the infrastructure should provide enterprise workflow engine and document management system.

- **To support client computing:** Beside core integrated court system and non-court system, there are many aspects not able to handle by the systems. Some operations are required to use client-computing for automation. The infrastructure should provide the

facilities for client-computing purpose.

- **To enhance courtroom technologies**: The courtrooms would be equipped with appropriate IT infrastructure, necessary equipment and communication network to support court hearing, including the use, retrieval and display of electronic documents. With built-in infrastructure, the use of electronic bundle, legal research and video conferencing, etc., can be set up in the courtroom much more readily if such activities are required and permitted by the court. The implementation of courtroom IT facilities would be carefully scheduled so as to minimise disruption to court operations. The Judiciary would also align the implementation schedule of courtroom IT facilities with the relocation project of the Court of Final Appeal and the construction project of West Kowloon Law Courts Building.

Area 2: Application

- **To implement an integrated court management system**: An integrated court management system would be set up to support the automation of litigation processes of courts and tribunals. The system would be designed to leverage the commonality of the processes while addressing the unique requirements of specific courts and tribunals. This integrated court management system would enable appropriate data sharing, data driven workflow and support the use of electronic documents.

- **To enable and encourage electronic services for various types of transactions**: Electronic services would be introduced in phases in many of the court processes in which court users interact with the Judiciary. Major initiatives being developed include –
  - i. a new webpage would be launched for court users and the public to obtain information from the Judiciary and to conduct electronic transactions. The webpage would be accessible through personal computers, or mobile devices which can be connected to the Internet;

  - ii. documents, such as case initiation documents for civil cases and charge sheets for criminal cases, may be submitted electronically to the Judiciary;

  - iii. to enhance convenience to court users, the Judiciary would seek to explore the feasibility of accepting the use of various payment means, including electronic payment methods;

  - iv. consideration would also be given to introducing electronic mode of listing as appropriate to support scheduling of case hearing right from the stage of making

a request up to the ultimate fixing of hearing dates; and

v. the scope of information and documents to be made available for electronic search would be expanded gradually.

It is anticipated that implementation of electronic services would reduce the need for court users to visit the courts or court registries in person.

- **To review and enhance non-court systems and administration system for new infrastructure**: For the non-court systems and administration system for various functions in many areas, e.g. financial, human resource and office automation areas in order to meet the new infrastructure, they were required to enhance and modify or rewrite to meet new requirement.

Area 3: Operations

- **To standardise processes across different court levels and across non-court sections**: The court and non-court processes would be reviewed and standardised as appropriate.

- **To streamline operations through business process re-engineering and improved automation**: The Judiciary would aim to improve the overall efficiency of its operation through business process re-engineering enabled by the use of IT. Automation of work processes would be introduced as appropriate.

- **To enable electronic court records:** In combination with expanded electronic services, the Judiciary would seek to support the use of electronic records in court proceedings and move towards a "less paper" environment. Electronic versions of documents will facilitate Judges and Judicial Officers, parties and practitioners in carrying out their work. The retrieval of information and record keeping will be more efficient and effective. The Judiciary would implement necessary security measures to ensure authenticity and integrity of the electronic records.

Area 4: Data\Information

- **To establish an integrated data architecture**: An integrated data architecture with centralized governance would be established to support the operation of the Judiciary.

- **To enhance knowledge management, court and non-court records management**: The Judiciary would seek to enhance its knowledge management and records

management capability based on the electronic information to be accumulated in the future processes. This will enable more efficient management of information and sharing of knowledge among members of the Judiciary.

- **To improve reporting and collection of statistics**: Coupled with standardisation of data and court processes, the future systems would be designed to facilitate compilation of management information, thus enabling more effective planning and operation.

Area 5: Security

- As Judiciary planned to introduce electronic services to more court users, strictly security policies should be applied to prevent from unauthorized users to access secret documents.

- Plan to setup self-help centres with necessary computer devices, software and connectivity for performing electronic transactions to assist court users. Security should be considered carefully to prevent from unauthorized users.

Area 6: Standardization (Setup Project Management Office)

- The applicability of IT best practices, IT standards and services for adoption by the Judiciary and make recommendations on IT practices and standards to be adopted, the technical components and the implementation approach, etc.

- The Office of the Government Chief Information Officer of the Administration was consulted regarding the use of IT throughout the ISSS and supports the implementation of the ITSP and the Six-year Action Plan.

- Build all the tools required to administer the project effectively. Many of these tools had been used on previous projects and simply needed customization for new project as standard.

3.2.2. Benefits

Qualitative benefits

According to the ISSS, it is anticipated that the implementation of the ITSP will bring about the following qualitative benefits –

General benefits

- **Improved access to justice**: The Judiciary's services will be more accessible hence improving the access to justice;

- **Improved workflow automation:** The standardised data architecture and streamlined work process across the Judiciary will introduce greater degree of workflow automation, leading to a reduction in manual work in many operational and support functions;

- **Improved operational efficiency:** The internal operational efficiency will be improved by using IT to facilitate staff collaboration and information sharing across different court levels and sections as staff carry out their duties;

- **Improved management information:** The response time for scheduled and ad hoc management information needs will be improved;

- **Improved data security:** The security of data in information systems will be more effectively supported by a number of measures, including the setting up of a centralized and integrated data architecture, the formulation and enforcement of data policies and procedures and the provision of data encryption technologies and backup facilities;

- **Improved service availability:** The availability of computer services will be more effectively monitored, thus reducing the likelihood of service delays and interruptions;

- **Improved utilization of computing resources:** The new infrastructure will be designed to enable flexible allocation of computing resources thus facilitating improved utilization of computing resources;

- **Improved scalability:** The future expansion of IT systems would be facilitated through a scalable design using a building block approach which allows software or hardware components to be added in a modular way;

- **Reduced risks:** By using up-to-date technologies, the risks associated with running decommissioned and unsupported technologies will be reduced;

Service benefits
- **Improved service to court users:** With the implementation of ITSP, the Judiciary will be equipped with appropriate IT facilities to provide more effective and efficient services to all stakeholders, and to respond responsibly to the rising expectation of users and the community. Electronic services to be introduced will enable court users to interact with the Judiciary in a more convenient fashion. The interaction will be timely, efficient, accurate and environmental friendly;

- **Enhanced efficiency of court activities:** The efficiency of many of the court-related functions will be enhanced through the use of technology. This will in turn result in more efficient utilisation of court time;

Case management benefits

- **Active case management:** The case management and resource management will be improved by using automatic alerts, integrated workflows, and improved case monitoring mechanisms;

- **Improved ability to handle complicated cases:** The capability to handle increasingly-complex cases, with growing volumes of documents and data, will be increased;

Communications benefits

- **Safeguard for the privacy of individuals:** The court information will be transmitted and stored more securely; and

- **Enhanced communication with external stakeholders:** The communications with external stakeholders such as the legal profession, institutional and individual court users, etc., will be enhanced.

Cost Savings

Other than the qualitative benefits described in paragraph 19 above, there are also tangible, quantifiable benefits that can be realised from improving the use of IT in the Judiciary. It is anticipated that the implementation of projects under this submission will bring about an estimated total savings of $81,108,000 in 2019-20. The total saving are made up of three main categories –

- realisable savings of $26,472,000 per year from reducing the software, hardware and other associated expenditure in maintaining the existing systems;

- notional savings as a result of improved operational efficiency for Judges and Judicial Officer and Judiciary staff of $44,404,000 per year; and

- notional cost-avoidances from the avoidance of potential future costs such as avoidance of paper storage accommodation costs, potential hardware / software replacement costs, etc. of $10,232,000 per year.

3.2.3. Costs

Non-recurrent Expenditure

The estimated non-recurrent expenditure over a six-year period from 2013-14 to 2018-19 is $682,430,000. The breakdown is shown as follows –

	$'000
(a) Hardware	144,385
(b) Software	147,595
(c) Implementation services	239,168
(d) Contract Staff	75,048
(e) Site preparation	9,190
(f) Communication lines	386
(g) Training Cost	4,619
(h) Contingency	62,039
Total	682,430

Other Non-recurrent Expenditure

The proposed implementation of the ITSP will require the setting up of a project team, consisting of both Judiciary staff and IT professional grade staff, for handling the multifarious responsibilities involved in tendering, project management, support for system analysis and design, and conducting acceptance tests. This will entail a total of non-recurrent staff cost of $69,990,000 from 2013-14 to 2018-19.

Recurrent Expenditure

It is estimated that the annual recurrent expenditure, including the hardware and software maintenance, on-going system support services, communication lines and consumables, arising from the projects will be $271,000 in 2013-14 and will progressively increase to $56,782,000 in 2018-19.

It is estimated that no recurrent staff costs will be incurred between 2013-14 and 2015-16. Annual additional recurrent staff costs requiring for supporting the new infrastructure and application for 2016-17, 2017-18 and 2019-20 will be $8,169,000, $8,169,000 and $10,797,000 respectively.

3.2.4. Risks
3.2.5. Issues
3.2.6. Assumptions
4. IMPLEMENTATION APPROACH

The following sections briefly describe the approach to be taken to implement this option.

4.1. PROJECT INITIATION

With approval of this Business Case, we will take the following initial steps to establish a formal project:

- Document a Project Charter to describe the purpose, scope and structure for this project
- Appoint a suitable project team members and define the role of each members in project team
- Establish a Project Office in specified location with furniture and necessary equipment.

4.2. PROJECT PLANNING

The next step will be to plan the project in detail by creating the following planning documents:

- Project Plan, Resource and Financial Plans
- Quality Plan and Risk Plan to ensure that the project remains on track
- Acceptance Plan to define the criteria for the deliverable be acceptable
- Communications Plan to inform stakeholders of the critical nature of this project and its current status

4.3. PROJECT EXECUTION

Having defined the project and planned its implementation in detail, the next step is to actually perform the execution to deliver the final deliverables. The following key steps are required:

- Review existing systems and documentation
- Interview/communicate with stakeholders to gathering requirements
- Flexibility Study on Infrastructure, applications, Operations, Data\Information, Security and Standardization
- Analysis, design, build and test the solutions for foundation components and infrastructure
- Implementation the foundation of Infrastructure, core components of systems and enterprise data model, etc.
- Set Up Project Management Office for standardization e.g. IT Best practice and deployment procedures
- Handover the solutions

4.4. PROJECT CLOSURE

Following the successful completion of the Execution phase, we will:

- Review the project to ensure that it has achieved the desired objectives

- Close the Project Office and release all project staff
- Hand over training and procedural manuals
- Review the project to identify any outstanding issues, project successes and lessons learned

4.5. PROJECT MANAGEMENT

The following management processes will be implemented to ensure that this project meets its objects on time, to cost and specification.

Process	Description
Time Management	Project Team members will complete Timesheets on a weekly basis
Cost Management	Project Team members will complete Expense Forms for any expenses to be incurred on the project
Quality Management	A number of Quality Reviews will be completed to ensure that the project produces deliverables to the required standard.
Change Management	Requested changes will be documented using Change Request Forms and approved prior to implementation.
Risk Management	Risks will be raised using Risk Forms and recorded in a Risk Register. The register will be reviewed weekly to identify and track risk-mitigating actions
Issue Management	Issues will be raised using Issue Forms and recorded in an Issues Register. The register will be reviewed weekly to identify and track actions taken to resolve issues
Procurement Management	The Project Manager will approve the purchase of all items for the project. Each item will be listed in the financial Plan prior to purchase.
Communications Management	The Project Team will keep all project stakeholders regularly informed of the progress of the project throughout the Project Lifecycle.
Acceptance Management	The Project Manager will be responsible for obtaining the customer's acceptance of all project deliverables.

5. APPENDIX

5.1. SUPPORTING DOCUMENTATION