

The California Case Management System

LEGISLATIVE ANALYST'S OFFICE

Presented to:

Assembly Budget Subcommittee No. 4

On State Administration

Hon. Joan Buchanan, Chair

Assembly Budget Subcommittee No. 5

On Public Safety

Hon. Gilbert Cedillo, Chair





Summary of Contents

- Part I: Overview of the California Case Management System (CCMS)**
- Part II: The State's Information Technology (IT) Project Approval Process**
- Part III: Major Components of the CCMS Deployment Plan—What to Look For**



Overview of CCMS



Project Justification

- Prior to the realignment of trial courts to the state in 1997, counties maintained their own case management systems to schedule, update, and track court cases. According to the Administrative Office of the Courts (AOC), the 58 trial courts at one point had over 200 case management systems. In 2002, AOC initiated the development of CCMS in order to integrate case management information from individual trial courts into a single statewide system.



Project Objectives

- The AOC indicates that one of the primary objectives of CCMS is to increase electronic access to court records, statistics, and information across the state and reduce the work associated with paper-driven filings. The project is also intended to allow the courts to electronically interface with other criminal justice systems (such as local law enforcement) to ensure that the court-related data is shared quickly and efficiently.



Overview of CCMS

(Continued)



Project Costs So Far

- By the end of the current year, AOC and the trial courts will have spent about \$560 million on the development of CCMS since its inception in 2002-03.

(In Millions)

	CCMS (Version 4)	CCMS (Versions 2 and 3)	Total Project Costs
2002-03	\$16.0	\$4.5	\$20.5
2003-04	9.8	0.5	10.3
2004-05	15.3	2.9	18.2
2005-06	30.8	18.5	49.3
2006-07	86.0	39.2	125.2
2007-08	56.7	36.8	93.5
2008-09	33.4	34.5	67.9
2009-10	48.5	19.2	67.7
2010-11	39.3	29.7	69.0
2011-12 (estimated)	14.6	20.3	34.9
Totals	\$350.4	\$206.1	\$556.5

CCMS = California Case Management System.

Overview of CCMS

(Continued)

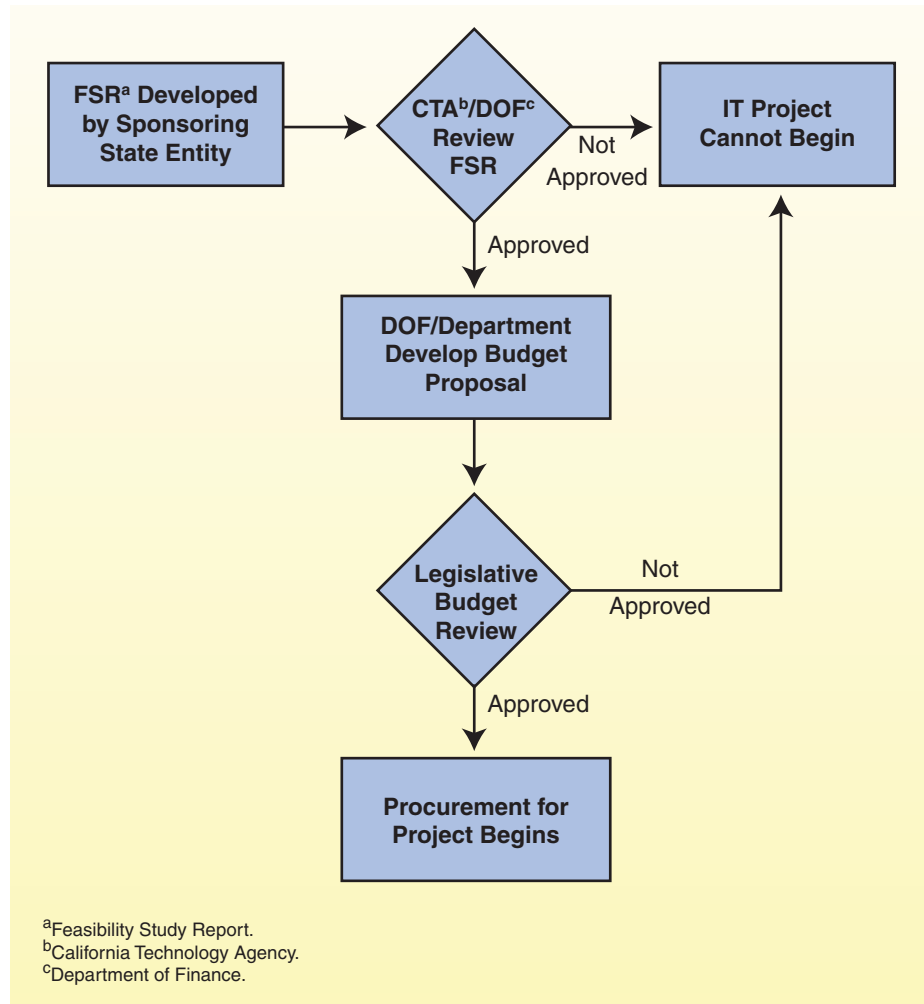


Current Status of CCMS

- **Product Acceptance.** In March 2011, the Legislature enacted statutory language requiring the Judicial Council (the governing body of the courts system) to obtain an independent assessment of CCMS prior to product acceptance by the Judicial Council (the action by which the Judicial Council becomes contractually bound to complete payment for the system). Two assessments—one on the process used to develop CCMS and one on the CCMS program itself—were completed in August 2011. Subsequently, the CCMS product was accepted by the Judicial Council at the end of November 2011.
- **Vendor Responsible for Project Delay Costs.** Numerous CCMS product quality issues emerged during early testing in 2010, resulting in a ten-month delay. The AOC and the vendor negotiated a settlement agreement to cover all costs of correcting identified errors during this period. This includes an agreement for the vendor to provide AOC with \$16 million, redeemable as either a credit for vendor services or as a cash payment. Currently, AOC must make a decision by March 31, 2012 on whether to take the credit or cash.
- **Deployment Plan Forthcoming.** The Judicial Council has contracted with an independent contractor to develop a deployment plan for CCMS. This detailed plan will provide a cost-benefit analysis for deployment and will specifically include (1) cost estimates for deployment to two early adopter (or pilot) courts and (2) a strategy and cost estimates for deployment at up to ten additional courts. The report is scheduled to be completed and submitted to the Judicial Council for consideration in late March 2012. At that time, the Judicial Council will determine whether AOC or a contracted vendor will be responsible for deployment of CCMS to individual trial courts.
- **Vendor Product Warranty Expiring.** The CCMS product has a vendor warranty which extends through the end of July 2013.

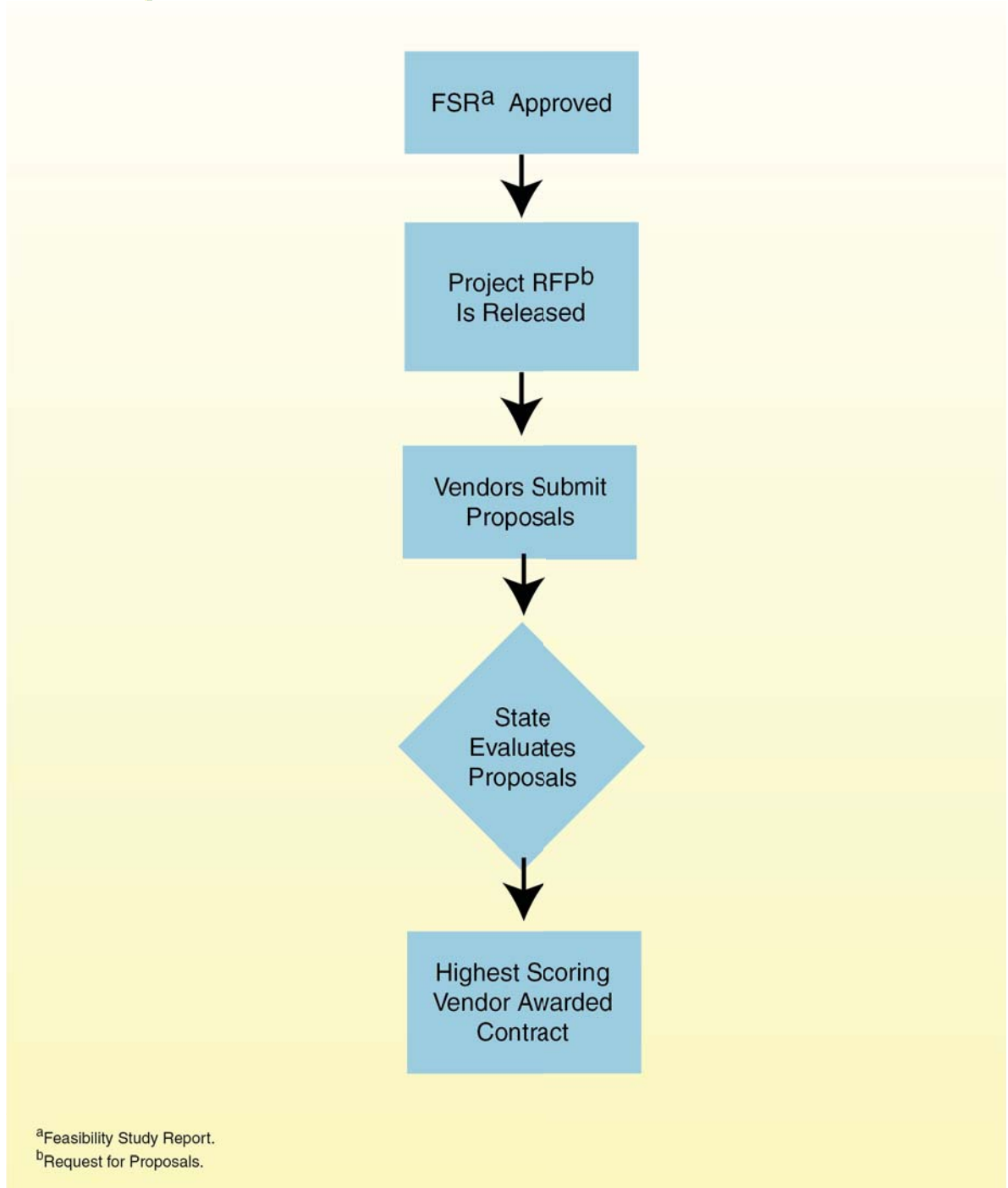


The State's IT Project Approval Process



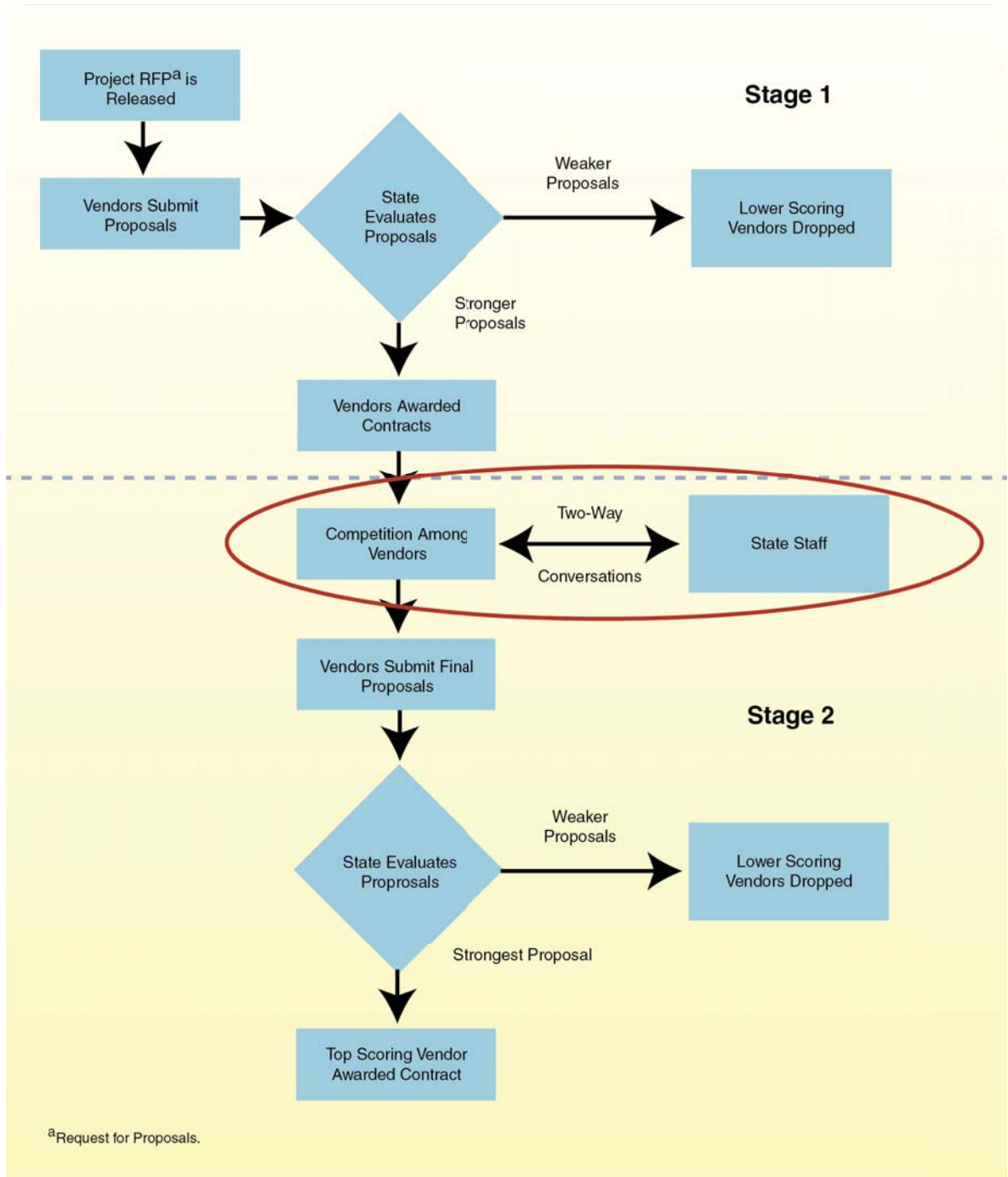


Major Steps in a Firm Fixed Price Procurement

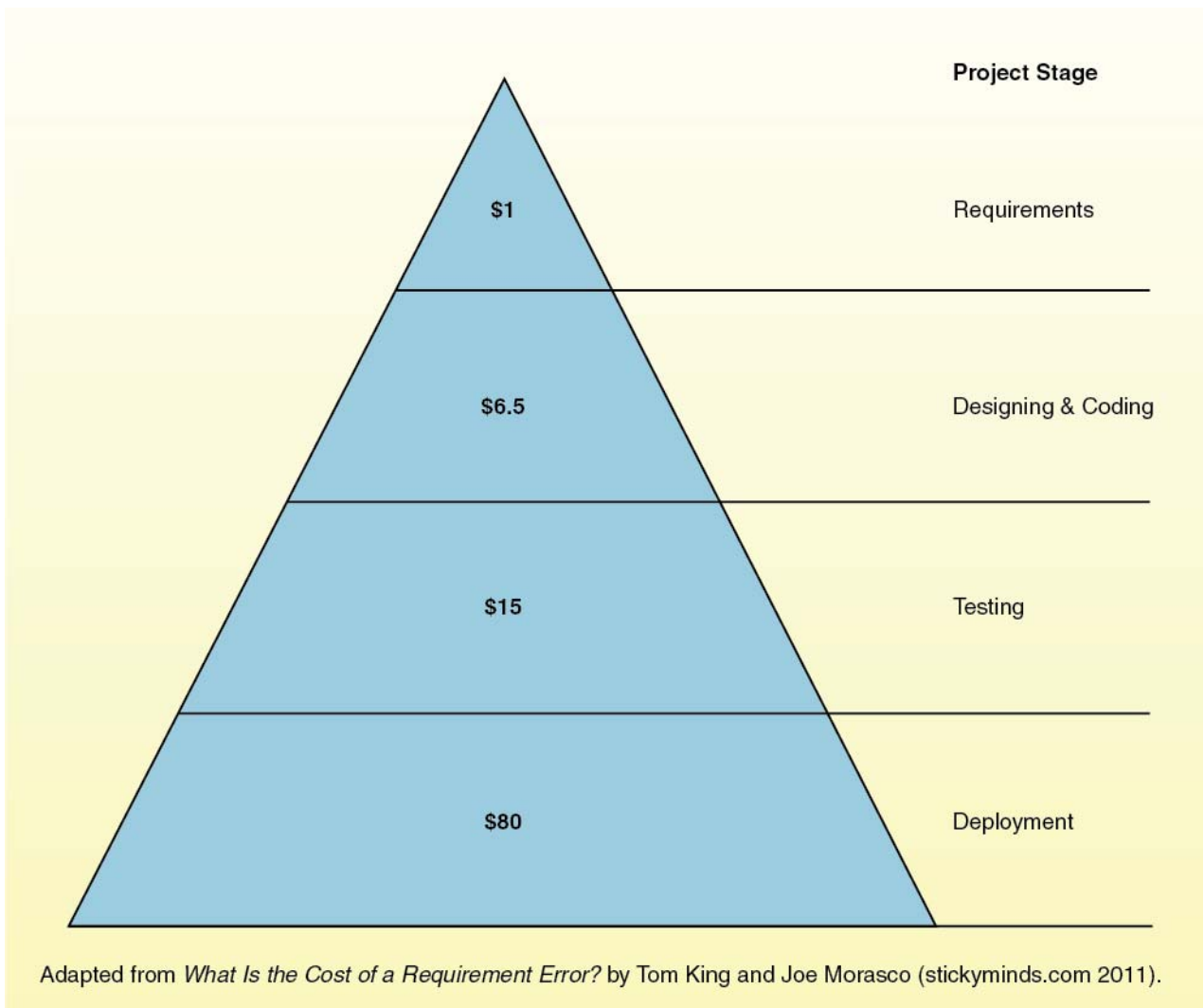




Major Steps in a Multi-Stage Procurement



The Cost of Requirement Errors





The Cost of Requirement Errors *(Continued)*

- Requirement errors cost U.S. businesses billions of dollars per year and often result in failed or abandoned projects.
- The relative cost to fix a requirement error depends on when the error is detected. For example, as shown in the figure, if an error is not identified until the Deployment Stage, it could cost 80-times the amount to address it than if it were identified early on in the process in the Requirements Stage.
- Key takeaway—the further along a project is, the costlier it will be to fix a requirement error. So it is important to catch errors early.



Major Components of the CCMS Deployment Plan—What to Look For

The deployment plan for CCMS should include various structured activities and plans to ensure that individual courts are ready to receive the CCMS system. Readiness should be assessed on two key fronts—technology and people. Having a solid deployment plan that addresses both technological and human factors will better ensure the successful implementation of CCMS at individual courts.



Technology—Ensuring Individual Courts Are Ready for CCMS

■ **Infrastructure Plan**

- Are the appropriate networks in place to ensure adequate connectivity?
- Does additional equipment need to be installed at the data center as more courts come online?
- Is there going to be a central data center or will each court or region be responsible for maintaining its own data center?
- Do courts have the proper upgraded equipment (personal computers, printers, scanners) to use CCMS once deployed?
- Are there characteristics of particular courts, such as size, geographic location, or age of courthouse, that could pose challenges when deploying CCMS?

■ **Data Conversion Plan**

- Is there a detailed plan for the data conversion approach? (How will data be cleaned, converted, and migrated from old case management systems to CCMS?)
- What resources are necessary at each court for the data conversion effort? (What court and/or vendor staff would be involved with data conversion activities and to what extent?)



Major Components of the CCMS Deployment Plan—What to Look For

(Continued)

- Has work been accomplished at each court to document the data in the current systems?
- Is there a set of automated tools that will clean and move the data from a court's current automation system(s) to CCMS?
- Have conversion routines been adequately tested? Who is responsible for testing and validating the accuracy of the data transfer?

■ Security Plan

- How will the security and integrity of the data be maintained? What security protocols should be in place?



People—Ensuring Users Are Ready to Adopt CCMS

■ Change Management Plan

- Has a structured organizational process (a change management plan) been developed that is aimed at helping court staff accept the changes in their current business practices and accurately use the new system?
- What are the major components of this plan? To what extent has CCMS staff incorporated lessons learned from other large automation deployments to inform this plan?

■ Training Plan

- Have the training needs of CCMS users been established and to what extent has the experience of court staff using earlier versions of CCMS been incorporated?
- What types of training will be offered prior to deployment, during deployment, and post-deployment? Will training occur in a classroom setting or online? For how long will support be available?



Major Components of the CCMS Deployment Plan—What to Look For

(Continued)

- What materials or tools will be available for training users? Will there be a simulated environment available where users may practice using the program?
- Are there unique training needs for particular courts? How will these be addressed?
- Who will conduct training? Contracted staff or court staff knowledgeable of CCMS?
- Have costs associated with training been identified? Who is responsible for those costs?

■ **Communication Plan**

- Is there a communication plan in place that provides clear and necessary information for court staff to prepare for CCMS deployment? Has court staff been involved in its development?
- Are procedures in place for court staff to communicate concerns or questions about training or other deployment activities/issues?
- Are procedures in place for court staff to report problems and obtain assistance post deployment?
- How will lessons learned and experiences from deployment be documented and made available to various stakeholders (for example, other courts and the Legislature)?
- How will requests for customization to CCMS by individual trial courts be addressed?



Major Components of the CCMS Deployment Plan—What to Look For

(Continued)

■ Preparing New Policies and Procedures

- Have current business processes and practices of court staff been adequately documented? Have future business processes and practices under the new system been adequately documented?
- Has an analysis been conducted to understand how CCMS users will need to move from their current way of doing business to the new way in which business will be conducted under CCMS?
- Are changes in court operational procedures and/or staff duties clearly outlined?
- Are instructions available to ensure standardized use of CCMS across all courts?