

I. Project Identification

Project Title:

Agency Name	Agency Business Unit
<input type="text" value="Division of Public Defender Services"/>	<input type="text" value="OCPD"/>

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II. Project Description

A. Project Dates

Proposed Start Date (MM/DD/YYYY)	Expected Completion Date (MM/DD/YYYY)	Project Duration (in months)
<input type="text" value="10/01/2012"/>	<input type="text" value="6/30/2017"/>	<input type="text" value="57"/>

B. **Project Description** - This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

The project will ensure the success of the Connecticut Information Sharing System (CISS) efforts at DPDS and address the following critical issues: (a) the lack of the dedicated Case Management System that meets the needs of adults as well as juvenile clients; (b) the difficult access to key information and information sources; (c) the lack of standardized Attorney and Staff information tools; (d) the lack of integrated information; (e) the lack of mobile access to information; and (f) the excessive reliance on paper files.

C. **Summary.**

Summary - Describe the high level summary of this project in plain English without technical jargon

The DPDS Capabilities Improvement Program is a strategic initiative encompassing five interrelated efforts.

1. Establish the organizational structure, governance, and policy elements of the program.
2. Improve business support by improving processes and technology so that DPDS is able to integrate with the Connecticut Information Sharing System and support business operations more effectively.
3. Improve the current technology by enhancing business applications, improving staff access to the enhanced applications, and proficiency with these applications.
4. Enhance DPDS staff access to information within the justice community.
5. Enhance technology support for DPDS staff and align the technology support with business direction.

Purpose – Describe the purpose of the project

The purpose of the project is to:

- Ensure the success of the Connecticut Information Sharing System effort at DPDS.
- Improve DPDS efficiency and productivity.
- Reduce operating costs.
- Reduce reliance on paper.

Importance – Describe why this project is important

This project is important because:

1. Is central to DPDS integration with the Connecticut Information Sharing System.
2. Will improve the effectiveness of the DPDS. DPDS needs to needs enhance its capabilities because public defender attorneys have seen a steady overall JD caseload increase of 12 percent in the last 5 years. Currently, Public defender attorneys in the Judicial District offices have seen a steady increase in the percentage of cases they represent, topping off for a second straight year at 87%.
 1. The technology enhancements are fundamental to the level of communication, professionalism, performance, and actions expected of the Division.
 2. Further, the successful implementation of these efforts is projected to generate savings of approximately \$1.9 million annually-not including the time value of money.

Outcomes – What are the expected outcomes of this project

The expected outcomes of the DPDS Capabilities Improvement Program are:

- Integrate with the Connecticut Information Sharing System.
- Create a dedicated Case Management System that meets the needs of adults as well as juvenile clients.
- Provide DPDS attorneys and staff access to key information and information sources.
- Create standardized attorney and staff information tools across DPDS.

- Provide DPDS attorneys and staff integrated information.
- Provide DPDS mobile access to information.
- Reduce DPDS' reliance on paper files.
- Reduce cost by approximately \$1.9 million annually.

Approach and Success Evaluation – Provide details of how the success of the project will be evaluated

The success of the will be evaluated by its results:

1. Integrate DPDS with the Connecticut Information Sharing System.
2. Create of a dedicated Case Management System that meets the needs of adults and juvenile client.
3. Create standardized attorney and staff process and tools.
4. Create wire and wireless connectivity to the enhanced DPDS systems and tools.
5. Create of integrated information.
6. Reduce the use of paper files.

D. **Business Goals.** List up to 10 key business goals you have for this project, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 50%". In the Expected Result column, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Condition	Expected Result
Create a dedicated Case Management System that meets the needs of adult and juvenile clients	2014	The system currently used to manage cases was not originally intended to be a case management system. The application is cumbersome to use and it have become unstable.	Productivity gains amounting to \$777,000 annually by 2016.
Create standardized attorney and staff processes and tools	2016	Processes are determined within each office without standardization across DPDS. This requires staff and attorneys who work across offices or move from one to another to learn the differences and adjust practices accordingly. This situation creates a quality control issue between offices as quality control can only be accomplished at the office level.	Increase attorney productivity by 50% to 70%.
Create wire and wireless connectivity to the enhanced DPDS systems and tools	2017	The DPDS attorneys and staff do not have mobile capability to access the Division's systems and	Productivity gains amounting to \$777,000 annually by 2016.

		tools. The lack of access to the division's systems and tools creates a great deal of unproductive time while attorneys wait in courtrooms and jails. Communication between lawyers and support staff is manual and phone based.	
Create integrated information	2015	Information is currently dealt with piecemeal unless it is in the paper file maintained for each case. Information used by DPDS is not integrated into a single electronic source that take into account the entire case life cycle, including appeals and reviews managed by DPDS. There is no connection with any Assigned Counsel or automated integration with DPDS to note assignment of the attorney or support DPDS accounting requirements.	Increase attorney productivity by 50% to 70% productivity.
Reduce the use of paper files	2017	Every aspect of the business at DPDS is conducted with paper. Even if case notes are captured in some type of electronic mechanism, they are printed or transcribed in some manner to the paper file. This is costly and inefficient.	Reduction on paper usage: <ul style="list-style-type: none"> • Storage 60% • Supplies 35% • Temporary expenses 40% • Equipment costs 35%

E. **Technology Goals.** From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

Technology Goal	Target FY for Goal
Deploy laptops that will support broadband access to facilitate connectivity to DPDS systems, tools, can communication between employees.	2017
Consolidate DPDS domains, which will provide a redesigned network authentication and security model.	2013

F. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

Priority Criterion	Y/N	Explanation
Is this project aligned with the Governor's Key Priorities?	Yes	The CISS effort has been a major policy initiative of both the Governor and the General Assembly in recent years. To date, millions of state bond funds have been spent to implement this project. In addition, this initiative will improve technology, which will make DPDS more effective in meeting at delivering services its clients.
Is this project aligned with business and IT goals of your agency?	Yes	Our business goal is to use IT to leverage IT to improve our performance and reduce cost, which is what this initiative is intended to accomplish.
Does this project reduce or prevent future increases to the agency's operating budget?	Yes	This initiative will reduce cost by approximately \$1.9 million annually.
Will this project result in shared capabilities?	Yes	This initiative is coordinating with the CISS effort so that DPDS files are fully integrated and updated through CISS. We will also share the technologies and capabilities with other agencies that would benefit from the technologies and capabilities created by this initiative.
Is this project being Co-developed through participation of multiple agencies?	Yes	This initiative is coordinating with CISS.
Has the agency demonstrated readiness to manage project of this size and scope?	Yes	The DPDS have begun the process of training its IT staff, building the tools necessary to initiate, conduct detailed planning, execute, monitor and control, and close the program. To accomplish this, DPDS has contracted a project/program management professional who is an expert in Information Technology and organizational change.
Is the agency ready to deliver the business value proposed?	Yes	The agency has conducted an assessment of the organization and developed a strategic plan to implement the necessary changes. A project management professional who is an expert IT project

		management and organizational change has been contracted to lead the initiative and ensure all business and technical requirements are met.
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G. **Organizational Preparedness.** Is your agency prepared to undertake this project? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

DPDS is fully prepared to undertake this initiative. The details of the initiative have been fully reviewed and approved by the Chief Public Defender, Susan Storey. The sponsor of the initiative is Deputy Chief Public Defender Brian Carlow. Attorney Carlow, who worked as a field attorney and office supervisor is committed and greatly enthusiastic about the enhancements and efficiencies that this initiative will produce. Additionally, with his years of litigation work in the field offices, he has respect from those who do the work of the Division and has already reached out to office heads and garnered their support for the project. Those individuals will be critical for the successful implementation of the project. Nancy Roberts, who is the Director of Human Resources and has extensive private sector experience has worked with Attorney Carlow throughout this project, and is equally committed and fully involved as, in essence, a co-sponsor. There is also in place an Initiative Implementation team comprised of several members of the Senior Management Team. Those members are also completely committed to the success of the Initiative.

In addition, the following personnel are in support of this effort, will be active project team members, and will be mobilized to communicate the changes to help ensure the success of the initiative:

JD	GA	Juvenile	Specialty/Admin Offices
Attorney/Office Head	Attorney/Office Head	Attorney/Office Head	Manager
Attorney	Attorney/Office Head	Attorney	Attorney
Attorney	Attorney/Office Head	Attorney	Attorney
Attorney	Attorney/Office Head	Secretary	Attorney
Attorney	Attorney	Secretary	Secretary
Attorney	Attorney	Investigator	Secretary
Secretary	Attorney	Investigator	Chief Investigator
Investigator	Attorney	Investigator	Admin Assistant
Investigator	Attorney	Social Worker	Chief Social Worker
	Attorney		Paralegal
	Secretary		Paralegal
	Secretary		Paralegal
	Secretary		Paralegal
	Investigator		
	Investigator		
	Clerk		
	Clerk		
	Social Worker		

- H. **Project Ramp Up.** If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any of these already been started? For example, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

The needs assessment and strategic plan have been completed. Laptops with broadband capabilities are already being issued. A project/program management professional who is an expert in Information Technology and organizational change has already been contracted to lead the technical and cultural changes necessary to make the initiative successful. The RFP is has not been created yet.

- I. **Organizational Skills.** Do you have the experienced staff with the proper training to sustain this initiative once it's a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

Part of the strategic initiative is to train our current staff so that it is able to sustain the enhanced infrastructure, system, and tools. The strategic plan includes the additional staff necessary sustain DPDS systems department. Including the additional staff, the efficiencies and productivity gain will create saving of approximately \$1.9 million.

- J. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
\$9,037,671	\$8,933,150	\$589,000	-	\$1,919,750
Explanation of Estimates				
<p>Estimated software costs include funding for the Case Management System (CMS) software to support public defender field offices, including the Appellate, Habeas and Juvenile Offices and the Office of the Chief Public Defender and social worker support.</p> <p>Hardware costs include funding for high-speed scanners and wireless adapters to improve document/information access, decrease reliance on paper, and create storage budgetary savings. Estimated costs also include funding for Document Access/FileNet, which connects the CMS to FileNet (the State's document repository which is maintained through BEST-DAS) through the CISS middleware solution.</p> <p>Contracted Staff/Project Services includes a variety of services that will be provided to the agency to help integrate CISS into the CMS and help design and implement the new CMS to fit the needs of the agency. Besides CISS integration and CMS implementation, these funds will also be used for domain consolidation, integration with DMV and JIS/YO databases and training staff on the new technology.</p>				

III. Expanded Business Case

- A. **Project Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this project have, if any, in the targeted areas below 2) What would be the impact of not doing this project 3) How will the project demonstrate benefits are achieved.

(1) Impact Area (Vision)	Description of Project Impact
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Will this project provide efficient and easily accessible services for all constituents?	The enhanced systems and tools will be accessible to all DPDS constituents.
Will this project promote open and transparent government with the citizens of the state?	Due to privacy and confidentiality of client information maintained in the system, by law the information is not accessible by the public.
Will this project establish efficient and modern business processes?	This effort will provide the latest technology available and will help make DPDS attorneys and staff more productive.
Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	This effort will help ensure that the information available to attorneys and staff is always available, up-to-date, and accurate because the information will be available electronically from a single source rather than paper based from multiple sources.

2) What is the expected impact of NOT doing this project?

- DPDS may not be able to fully integrate with the Connecticut Information Sharing System.
- The expected impact of not doing this project would be the perpetuation of the of DPDS relying on a system that was not designed to be a case management system that is unreliable, cumbersome to used that some do not use at all.
- DPDS will have to increase the size of its attorneys and support staff in order to accommodate the increase case load.
- Paper file will continue to be used creating a great deal of waste and inefficiency.

(3) How will you demonstrate achievement of benefits?

Benefits will be demonstrated by:

1. Case Management System – attorney productivity increase of 3.8 percent by 2016; benefit of \$777,000 annually.
2. Wireless access to information – attorney productivity increase of 25 percent by 2016; benefit of \$723,000 annually.
3. Data entry staff efficiency – staff redundant data entry will be eliminated, increasing performance by 5 percent by 2016; benefit \$255,000 annually.
4. BAM Library – Attorney productivity increase; benefit \$31,000 annually.
5. E-mail improvements – improved productivity for all of DPDS; benefit of \$95,000 annually.
6. Paper file management – reduction in paper usage of 45 percent by 2014; benefit \$176,700.

B. Statutory/Regulatory Mandates. 1) Cite and describe federal and state mandates that this project in intended to address. 2) What would be the impact of non-compliance?

(1) Statutory / Regulatory Mandates:

Connecticut General Statutes Section 51-296
Public Act 08-01

(2) Impact of non-compliance:

Inability to utilize the Connecticut Information Sharing System (CISS), resulting in less efficient and more costly delivery of services which the agency is constitutionally and statutorily mandated to provide.

More globally, any constituent member of the Criminal Justice Information System (CJIS) Governing Board not able to optimize CISS will adversely impact the efficient and timely exchange of information as contemplated by Public Act 08-01.

C. Primary Beneficiaries. Who will benefit from this project (citizens businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way?

The primary beneficiaries from this project will be the citizen of Connecticut because:

- The improved capabilities and access to information to attorneys, social workers, investigators, and support staff will allow for more efficient and effective representation of clients.
- The citizens of Connecticut will benefit from the reduction in agency operational expenses and a more efficient and effective public defender system available to the indigent population.
- The Governor and the General Assembly will benefit from the implementation of this initiative, as it will allow for the successful operation of CISS, which has long been an high priority of the Governor and General Assembly.