

**Assimilation Key to Successful Implementation of Statewide Case Management Systems:
Arizona Case Study**

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Table of Contents

Acknowledgements.....	2
Table of Contents.....	3
Abstract.....	4
Introduction.....	7
Organizational Chart 1 – Governance Oversight.....	11
Organizational Chart 2 – Arizona Funding Agencies.....	12
Organizational Chart 3 – GJ-CMS Assigned Staff.....	13
Literature Review.....	15
Methods.....	32
Findings.....	49
Table A – Communications – Other States.....	51
Table B – Project Management – Other States.....	52
Table C – Standardization – Other States.....	53
Table D – Court Assimilation & Planning – Other States.....	54
Table E – Project Objectives & Performance – Other States.....	56
Table F – Reality in the Numbers – View of the Past Communications.....	58
Table G – Standardization Results.....	59
Table H – Project Management for Aztec Implementation.....	60
Table I – Project Objectives & Performance.....	61
Table J – Court Assimilation & Planning for Aztec.....	62
Conclusions and Recommendations.....	64
Appendices.....	73
Appendix A – Other State Survey & Results.....	74
Appendix B – Arizona Superior Court Survey & Results.....	83
Appendix C – Graphic Illustration of the Survey Results.....	91
Appendix D – Project Schedule for the Arizona CMS Implementation.....	96
References/Bibliography.....	97

Abstract

Assimilation of trial court staff in the implementation of state wide case management systems (CMS) in Arizona and other states was studied. With direction from the Supreme Court and funding from the legislature, the Arizona Administrative Office of the Courts (AOC) is responsible for all the Arizona trial courts and the persistent need to meet the demands of both increased population and uniformity across diverse communities and courts.

Especially in less populated Arizona counties, legacy software to support case management and other court business workflows are out-of-date and rapidly becoming obsolete. To address these issues, the Arizona General Jurisdiction Case Management System Project, the prime focus of this report, is being implemented. The Arizona AOC along with 13 Superior (general jurisdiction) Courts, which are outside of the major metropolitan centers of Phoenix and Tucson, are working together to implement a new statewide CMS. Since the problems and issues being studied are not unique to Arizona, lead state level IT and business staff from three other carefully selected states, Minnesota, Kansas and Missouri, with recent experience implementing a statewide CMS were surveyed.

A thorough literature review suggests that case management automation is generally approached from either a very technical view or from a somewhat limited court business process view. The technical view in the literature addresses software and hardware issues while the court business process view focuses on software development, acquisition and implementation. Assimilation even as part of business process reengineering and project marketing is generally ignored. While this project builds from the existing literature in important ways it also was designed to begin filling the existing gap in the literature concerning assimilation. However,

more specifically, project results become an important information source for the on-going Arizona project.

Two complimentary questionnaire surveys one of Arizona trial court personnel from the 13 target courts and the other of lead IT and business staff in Missouri, Minnesota and Kansas were developed and deployed. The survey had five sections: Communication, Standardization, Project Management, Project Objectives, and Court Assimilation and Planning. In total there were 19 survey respondents 16 from leaders of the 13 target Arizona trial courts and one each from the lead IT or business staff on behalf of Missouri, Minnesota and Kansas. Then in order to substantiate and further illuminate the data received from the questionnaire surveys, follow up interviews were conducted with a select number of respondents from each of the two surveys deployed.

Findings from both Arizona and the three other states court communities who have attempted statewide CMS reinforced the importance of assimilation of trial courts and their leaders and staff early on and throughout the CMS implementation process. Survey responses and follow up interviews plainly supported the need for early trial court staff involvement in and communications about the upcoming project. State level project managers must ensure that funding, planning and communication take trial court questions and concerns seriously especially if, as was true in Arizona, previous projects failed to assimilate the trial courts.

A successful court automation project requires a successful assimilation phase. During this project this became a truism and informed five conclusions and eleven recommendations. Number one the assimilation process is the single most critical aspect of the CMS implementation process. Assimilation must be thorough and reach all levels of the court system and their leadership and staff. CMS implementation will directly affect trial courts business

processes. Marketing strategies put into play via trial court assimilation must be thorough and reach all levels of the trial courts and their staff. To accomplish this, participating departments must stay focused on the real reason for the project and, very important, never take for granted or overlook the importance of staff morale. AOC project managers cannot underestimate the morale of either the trial courts or their own staff and the view that they have of the project. The Arizona CMS project has been directly impacted by the findings and conclusions and recommendations of this project, which already have been imported into project documentation and the project schedule.

Introduction

The Arizona Supreme Court has an administrative support agency for ensuring that the requirements of the judicial branch of government are implemented. That agency is the Administrative Office of the Courts or AOC. Over the past several years a number of factors have caused increasing pressure on the courts to accomplish their business more efficiently. The AOC has been in the front lines of assisting the courts toward their improved condition and has become who they look to for providing systems to accomplish this goal. To that end, the AOC has embarked on a continuing journey of automation improvement in order to enhance trial court business processes. The most ambitious automation project ever to have been launched by the AOC is the implementation of a new and improved case management system (CMS). This project is being implemented in 13 Superior Courts (general jurisdiction trial courts) who are outside of the major metropolitan centers of Arizona, Phoenix and Tucson. Ambitious describes this project both because of the numbers of courts and because of the complexity of the issues that surround them.

Although the AOC would seem to be an all powerful agency, it is in fact very subject to the whims and wishes of the court community which it serves. These courts are experiencing rapid growth of population in their jurisdictions and the current or legacy software system supporting their business is rapidly becoming incapable of sustaining that growth. The country court and its relaxed atmosphere of all the time you need to get it done is now faced with long lines of defendants, victims, press and other interested parties needing information or assistance in getting their due justice or due data. A new, more functional, more robust and more user friendly software is necessary for the court to even stay abreast of the demands upon it. With all this pressure, the AOC has had to react; however, it is equally strapped by budget and resource

constraints that make the future always a moving target. Responding to the demands of the court community usually requires the AOC to launch “quick fix” projects just to get to the next horizon. To its credit the AOC has finally determined to find the correct product for the courts to automate their business process and thereby move into the current if not the next generation of software systems. No matter the staff or the dollars being less than needed, a project manager must recognize the need to bring in this desperate court community and find methods to assimilate them into welcoming an AOC driven project. Assimilation, although the one phase often overlooked, must be the focus of the AOC team at the strategic point in the schedule when it can have maximum impact.

Arizona Superior Courts have for over a decade been able to control their own data from the process of input to the maintenance of the tables. Each Clerk the Court, or County Administrator, believes their way of managing the data is the optimum method for their court and they do not appreciate the Administrative Office of the Courts telling them that they will now have to standardize their practice and process. The project management team for the new CMS has to realize the criticality of educating these key court individuals that standard process means standard data and efficiency in the data sharing. Although these courts, fondly known as the country courts, have long considered themselves geographically dispersed and therefore able to be autonomous, the growth of the Arizona population no longer allows a single court to do things their way or to be overly protective of their data. Data sharing becomes an absolute necessity in a state that has transitioned from a rural dominated landscape to an urban dominated landscape with rural outposts. The surveys that were conducted as part of the project will expose the gravity of the problem, and how the assimilation plan overcame it.

The bottom line of this project is first to confirm the need for assimilation and secondly to ensure the phase is properly infused into the project schedule. Regardless of the other phases of the project that usually get the attention, it is paramount that the project manager keeps assimilation where it should be and at the level of support that it should be. No short changing this phase should be allowed. And if this is not done, then the projects bottom line will be adversely affected. In fact, it could bring the project to an end altogether.

This report will demonstrate the type of source material that is available by which the researcher can begin to build the foundation for proving the need for a solid assimilation project. Further, the report will stress the need for first hand user information by utilizing concise and to the point surveys and interviews. Finally, the study will accumulate the data and illustrate results and findings that support the title of this paper. Once those results are calculated and analyzed they will be stated as conclusions and recommendations for the Arizona case management system implementation project. Finally, those recommendations will be realized in a project plan that contains a significant application of assimilation requirements.

The transition here is not good editing is needed. The Arizona trial courts involved were the 13 locations of the Superior Court not including Maricopa and Pima Counties who have already developed “home grown” systems and have already stated that they will not participate in this software deployment. There is one Arizona Superior Court with 15 locations, one in each county. It should be noted however that there are some counties who have set up remote locations of the Superior Court in order to accommodate the needs of citizens that the courts serve. The current or legacy system utilized by the 13 courts going forward on this project was a Panther based architecture software that had been in existence since acquired from a vendor in the late 1990’s. It is known as “AZTEC” but has no acronym association to the court system.

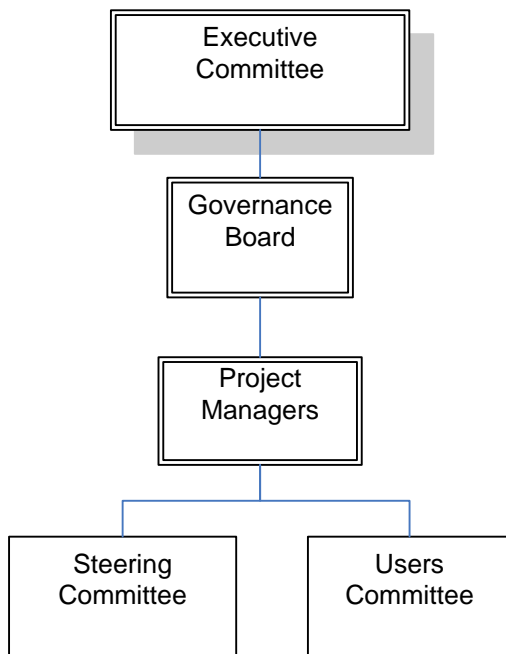
Aztec is loosely controlled by the AOC in the sense of updates and enhancements, however, the individual courts have had much latitude in structure of tables and data field content. It was determined to be legacy over three years ago when the AOC realized that the architecture was becoming out of date and those programmers who could actually maintain the system were becoming scarce and difficult to locate.

The Administrative Office of the Courts (AOC) has the oversight role in any technology project that is to impact the majority of courts throughout the state. Although there are usually several courts (Maricopa and Pima Counties particularly) that choose to be independent from the AOC, the majority of the nearly 200 courts in Arizona, both general and limited jurisdiction, follow the direction of the AOC. This is particularly true of automation projects because most of the courts throughout the state do not have the resources to implement and support such projects.

This resource issue requires the AOC to assign as many staff as possible to the project in order to minimize the staff support needed by the individual court. However, because of the very nature of an automation project that transitions court staff from a legacy case management system to a new (and improved) system, the court must dedicate the majority of its staff to the project at one point or another to ensure they are properly trained and ready to conduct court business using the new software.

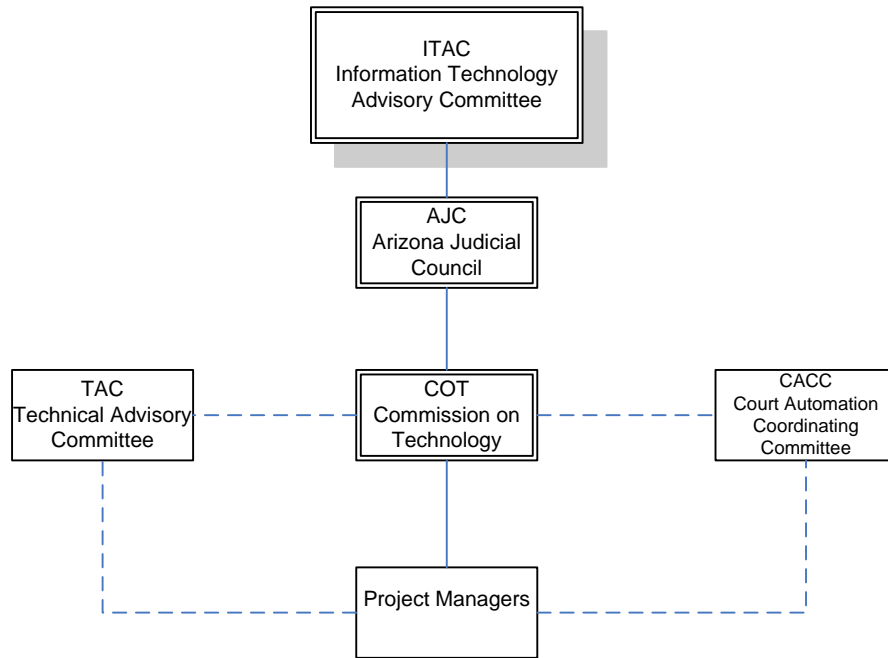
From the advent of the AOC determining that there would be a purchased software system that would be enhanced to become an Arizona specific case management system, it was clear that certain oversight committees would be required. At the top of the pyramid of boards is an Executive Committee charged with the final decision position on any disputes or contract issues between the vendor and the AOC. Under this committee is the Governance Board which by meeting weekly takes direct responsibility for oversight of the project.

ORGANIZATIONAL CHART 1: Governance Oversight



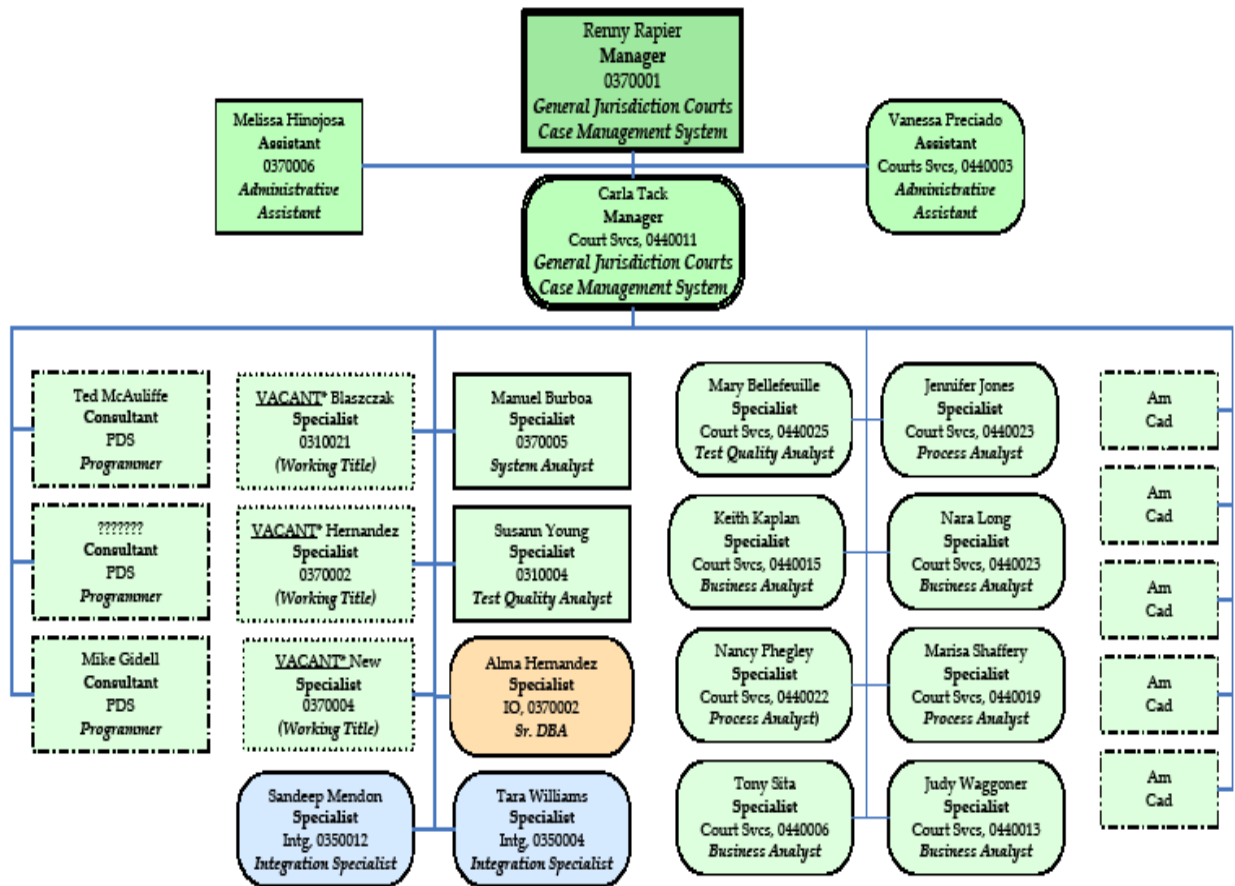
The project managers of the Arizona CMS project report status and issues to this group at each meeting and resolve any pending problems as necessary. Also included in the strata of oversight groups is the Steering Committee which allows for a group of court users (Clerks, Judges, and Court Administrators) to be involved in reviewing matters for which the court community requires resolution. This hierarchy of oversight committees is established to ensure support of the project without making the management of the project excessively top heavy.

ORGANIZATIONAL CHART 2: Arizona Funding Agencies



ORGANIZATIONAL CHART 3: General Jurisdiction Case Management System Organization Chart Including Assigned Staff

**INFORMATION TECHNOLOGY DIVISION
GENERAL JURISDICTION COURTS
CASE MANAGEMENT SYSTEM**
MONDAY, FEBRUARY 04, 2008



The Arizona CMS project has progressed very well and as of this point it is well into the design phase of the project. Contract negotiations were completed first and that was followed by a comprehensive effort to develop a project plan and schedule. Once that was created and approved the project went directly into GAP sessions to ensure functionality of the new CMS

would be correctly defined. Synergistically to that effort has been a significant drive to get the data conversion and integration scope determined and put into documentation for the technical teams to work from. Following the GAP sessions, there were JAD sessions to ensure the design was developing correctly. Therefore, at this time there is development progressing on three fronts; data conversion, integration, and system functionality to meet court business requirements. All project deliverables have been on schedule and the project continues to receive complete support from all funding commissions and oversight committees.

With the success to date and the level of commitment from both the AOC and the CMS vendor, the forecast for the project is very positive and success is expected. Although there is no doubt that project schedule changes will occur, there is also no doubt that the teams will adjust and carry out the assimilation phase, and all other phases, to completion in the time determined by the manages of the project. These phases are best demonstrated by the Project Schedule, developed by the AOC Project Management Team and referred to by the governing boards and committees in decision making and budget planning as represented in Appendix D.

The project schedule was developed by the project managers after data compilation and review of resource requirements from the subject matter experts, and other resource managers. It is a fairly top level task list with sufficient date ranges and resource assignments to allow the project managers to forecast and track the project progress, as well as provide relevant resource assignments. The full life of the project is included from kickoff July 2007 to completion December 2009.

Literature Review

Introduction and Overview

As is clear from the review of the literature that follows, there is gap concerning issues involving the willingness of court personnel to accept automation projects, having to change business process, then upgrade existing software and subsequently assimilation of new software to manage case processing as well as use of court data by the courts and their justice partners, is fraught with challenge. Literature specifically addressing the subject of assimilation for courts entering into the planning, design and implementation of a new case management system is not rich.

The concept of assimilating the courts into acceptance of the new CMS (case management system) is generally either a small sub topic or mentioned only in passing as a preamble to the “real” supposed meat of the subject, implementation. Primarily the available literature approaches case management automation from either the very technical view or from the court business process view. The technical view will usually address all the software and hardware issues while the court business process view usually focuses on development, acquisition and implementation. The assimilation strategy, which can be the do or die phase of bringing in a new case management system is often not mentioned at all in the technical view and given only a few paragraphs in literature that addresses the impact of the new CMS on court business processes. Besides reviewing the literature’s limitations, this review strives to demonstrate the importance of assimilation in the preparation of trial courts for implementation of a new CMS.

Literature that Actually Supports the Need for Assimilation

From the review of literature performed in preparing this paper it is evident that authors of the relevant works will address the assimilation process, even though they may not use the term, as a standard requirement of the case management implementation project, or they will ignore its relevance all together. In some statements they will give the assimilation process an alternative dimension as if it is implied in the development or deployment phase of the project.

Lawrence P. Webster in his *Planning, Acquiring and Implementing Court Automation*¹ does provide a brief look at the challenge of the CMS being successful in its acceptance by the court as he writes;

“The real world is not like a textbook. Successful approaches are simple to prescribe when the environment is easily controlled. The challenge is to make ideas work in surroundings that are not so hospitable, where exceptions and the need for adaptation are the rule.

In the real world, managers administer organizations, people and processes, not projects. They must constantly balance resource allocation between daily operations and competing longer-term needs. They must focus their efforts on the court, not the project. Sufficient resources are seldom available to use the textbook approach.”²

This statement of reality is repeated in other topics in his treatise, but even in the beginning after he provides above he quickly departs the subject of assimilation and moves on to the subject of managing the development of the system. Webster is not unaware that the subject requires further mention and therefore provides only a two paragraph discussion of evaluating needs which could have been titled something similar to “Assimilation Criteria”, and simply notes that “The evaluation should address the issue, “Is the court ready for automation?”³ To which the assimilation process manager will answer “Yes, because we have to prepare them”.

¹ Lawrence Webster, *Planning, Acquiring, and Implementing Court Automation*, NCSC, 1993,.

² *Ibid*, page 5

³ *Ibid*, page 26

It is also evident that authors of literature concerning court automation feel a need to address assimilation depending upon the historical point in time during which they produced their article. A 1977 publication from the National Center for the State Courts titled “Data Processing and the Courts, Guide for Court Managers”⁴ touches on the subject of preparing the court for automation in a few brief and incomplete references but does recognize the need somewhat when stating that “In too many courts, the systems study is performed with little or no involvement and participation of court management and potential users.”⁵ Jump forward in time to the CTC III Conference of March 1992 and a white paper resulting from a presentation titled “Issues in Statewide Automation: The Thorns and Roses”⁶, where author Doug Walker dedicates more significant discussion on assimilation. On page 3 he presents the necessity for heavy user involvement and ends with the statement “Keep all users well informed of the project and invite input throughout all phases”⁷. At least the awareness is improving as we move into the 21st Century.

Even though there is a collection of literature that fails to substantially address the need and application of the assimilation process, it is encouraging to find those authors who realize its importance. J. Douglas Walker, in his publication “The Challenging Voyage to Statewide Court Automation”⁸ devotes a full chapter to the concept of assimilation, and continues his attention to the detail in an additional chapter. In Chapter Five, Selling the Concept, the conceptual discussion as well as the nuts and bolts of just how to get the courts prepared for what is coming

⁴ J. Michael Greenwood, Donald S. Skupsky, Charles H. Jeske, Paul G. Veremko, Jerry R. Tollar, **Data Processing and the Courts, Guide for Court Managers**, NCSC 1977.

⁵ **Ibid**, page 15

⁶ Douglas Walker,, **Issues in Statewide Automation: The Thorns and The Roses**, Third National Court Technology Conference, 1992 all pages.

⁷ **Ibid**, page 3.

⁸ Walker, J. Douglas, **The Challenging Voyage to Statewide Court Automation: A National Assessment**, NCSC, 1992 page 31-48.

at them. The article is very thorough as it even addresses the value that a change in leadership may have to the progress of the case management system. Opening Chapter Five is a bold lettered statement that probably summarizes the goal of this paper.

“Do not underestimate the overarching importance of effective marketing and public relations throughout the entire life of the project.”⁹

Walker provides perhaps the most direct declaration of the typical approach of authors when addressing the automation changes and the associated processes. The light he brings to neglect is stated by:

“In their concern for the mechanics of project planning and management, the complexities, of technical decisions, and the development and implementation of a well-designed system, project leaders often fail to recognize the extent to which marketing must precede and permeate every stage of the process.”¹⁰

While it could have been said better, one can sure agree with this assertion. After reading through literature piece after literature piece that did not give proper attention to this critical step known as assimilation, this piece was like ‘literature exposed’. The subject matter was very useful in the actual development of project scope and schedule for the Arizona court assimilation process in preparation for the new case management system.

One of the most encouraging concepts that Walker does not forget is the necessity of organizing people in preparing for the advent of a new case management system. In Chapter Seven; Organizing People: Statewide Committees and Task Forces,¹¹ Walker again gets to points not usually realized by other writers. The necessity of bringing together the appropriate combinations of people that possess the essential energies and talents is a foundational stone for the assimilation project to be successful. This author provides the types and compositions of

⁹ *Ibid*, page 31

¹⁰ *Ibid*, page 31

¹¹ See Note 7 *supra*, page 3

governing bodies that must be in place long before the technology is implemented in the court, and continues the structure of committees through to the completion of the system implementation, and finally describing the post implementation user groups and change management committees. No other document studied is as thorough in the exposure of the requirements for the critical aspect of steering committees and task force as this publication by J. Douglas Walker. Again, this project's scope and schedule were significantly affected by this work.

As this review has indicated there is a relationship between the historical evolution of court automation and the recognition of the importance of assimilation in the process. The article given the praise above for its thorough addressing of the aspects of assimilation was published in 1994. Earlier in this section it was noted that articles from 1977 and 1992 did not adequately take on the subject of assimilation. The Walker article of 1994 is an exception to the rule, as publications that come forth years later are still not giving assimilation proper attention. Even in the 1999 paperback titled "Technology and the Law – Report May 1999";¹² the Victorian Law Committee of Australia toured the world to study court automation and provided only one section, 9.8, and a paragraph of bullet points concerning the preparation of courts for automation. And the consciousness of later treatments is not much more profound in the years following even up to the recent past. The example would be best demonstrated by the literature drawn primarily from states that have gone through the process of court automation in recent years. The State of Missouri has been in the process of a statewide deployment of CMS that, from their description, would significantly change their courts business and even their very culture. In the year 2000 they embarked on the journey of improved court automation and soon

¹² Victorian Law Committee, **Technology and the Law**, Report 1999, page 147

thereafter realized that they would be better served in the process if they expended major effort in preparing the courts for what lie ahead. In their “JIS Implementation Helpful Hints,”¹³ several pages are devoted to this preparation process including a back off of the implementation dates with a six month, three to four month or one to two month milestone recommended tasks to ensure court readiness. They have devoted a training document, “What Clerks Can Do to Get Ready for the Automation to JIS”¹⁴ specifically to the warming up of the court personnel to the idea that a new case management system means new ways of doing their business. Yes, they actually face the dreaded “change” word head on and admit to the users that they will not be doing things the way it always has been! This boldness is just what must be realized for success of the Arizona project.

As is reviewed above, J. Douglas Walker is one of the few authors who found his footing in this foundational concept of assimilation. Walker also finds fault with those who manage these projects and says:

“In their concern for the mechanics of project planning and management, the complexities of technical decisions, and the development and implementation of a well-designed system, project leaders often fail to recognize the extent to which marketing must precede and permeate every stage of the process.”¹⁵

No other work studied for this project was as bold in its statements as to how important assimilation is, but there was a requirement of digesting many other papers until this resource was found.

The absolute necessity of a well designed assimilation phase within a project will be proven by the success of the Arizona story. As this paper’s content is put to practical

¹³ State of Missouri Justice Integration Project Management Documentation, **JIS Implementation Helpful Hints**, 2000, page 1

¹⁴ State of Missouri Justice Integration Project Management Documentation, **What Clerks Can Do To Get Ready for Automation to JIS**, 2000,

¹⁵ See Note 7 *supra*, page 3

application, there will be frenzy within the trial courts of Arizona that is positive energy, and will raise the level of confidence in the implementation phase to greater heights. In the Jeffery Barlow article, *How Technology Changes the Way Courts Do Business*,¹⁶ the author attempts to complete the discussion of the Utah, Oregon, and other states' implementation of automation but again fails to properly advise the reader of what actually happened to the courts personnel when they faced the ominous task of changing all the old practices.

Barlow makes the statement:

“Although faster, this application of the technology does not represent any change in the way the court does business or the business that the court does—the clerk still looks up the records in response to inquiries”.¹⁷

If the project leaders of the Arizona project were to take the thinking represented by this statement as basis for planning their project, they would assume the court is easily acclimated to automation...no issues...no problems because business doesn't change. Of course the Arizona project managers know better and will be best served by the study of this paper so they can do much better. They will know that in fact the business does change simply from the advent of automation itself and in their situation the advent of change from one old school automated system to a new state-of-the-art case management system. Therefore the critical phase of assimilation, properly administrated, will perhaps make the courts feel that their business has not been “changed” as much as it has been enhanced.

Finally, it must be noted that much of the literature on the subject of court automation that was reviewed for the project was chosen in hopes of supporting the project plan questions and statements listed in the Phase III planning document. Therefore many literature pieces had misleading titles or tables of contents, for example, “Court Automation and Integration” is an

¹⁶ Barlow, Jeffery N., *How Technology Changes the Way Courts Do Business*, Session No. 303, Reengineering Courts with Technology, 1994

¹⁷ Ibid, page 3

alluring title and the subsequent table of contents Chapter 2, The Courts,¹⁸ seems poised to talk directly to the project plan question of “What are the issues that impact a statewide or rural court assimilation of a replacement CMS?” However, the literature piece never delivers and therefore, more research was necessary to find articles that actually approached the subject of assimilation. This is not a negative point just fact that in order to prepare this paper and to prepare the Arizona project a significant amount of drill down in to each literature piece was required before one could find substantive information about assimilation.

Common Thinking in Available Literature...or Not so Common...and Will Have Impact on the Focus and Methods of this Project

Available is the key or operative word in this section. The last section is dedicated to the premise that there are many literature works that must be given an eye just to see if there is even a mention of assimilation activity. In this section it is intended to give support that the authors of these works are at least of a common mind when and if they discuss the subject at all. Any literature piece that actually addressed assimilation would include discussion of one or more of the following points.

1. Automation by its very nature means change. Change and its impact on the court must be planned carefully and provides an opportunity to bring significant improvement to the courts business processes in a positive way.
2. Courts in general do not like change and is inevitably viewed in a negative way.
3. Marketing of the “new system” must be accomplished in stages through all phases of the CMS project but most importantly well before the first pilot court begins implementation and through all levels of the court management and staff
4. Assimilation of the courts in preparation for CMS implementation is often under budgeted and understaffed

¹⁸ Bureau of Justice Assistance, Report of the National Task Force on Court Automation and Integration, 1999, page vii

5. The success of any project for case management system implementation is a direct result of the success of the assimilation phase of the project

From the articles or course outlines of NCSC publications and conferences, to manuals from international and US Federal Government agencies, the above critical criteria were part of the given work's core discussion of preparing courts for the advent of the case management system. Even in an article from the NCSC Court Technology Bulletin, Vol. 9 No. 2 March/April 1997, the assimilation topic is disguised in the title "Implementing a Criminal Justice Information System: The Political Factors".¹⁹ Author Christopher M. Shelton provides insight that any worthy CMS project would be wise to observe. After stating that very few of these systems have been implemented successfully he counsels;

"Developing and implementing a CJIS requires great planning plus excellent communication and cooperation among criminal justice agencies. Besides the technical complexities of integrating old and sometimes proprietary systems, the criminal justice community also faces the challenge of getting those diverse criminal justice agencies, which have different individual priorities, to work together. Although technology is generally viewed as the prohibitive factor in attaining the goal, the criminal justice community must confront far more significant issues, such as competitiveness, lack of trust, and fear of losing control that can greatly impede and inhibit this collaborative effort."²⁰

Although Shelton is using slightly different terminology for an automation system (CJIS instead of CMS) the factors that must be overcome for the success of the implementation phase are the same in the assimilation phase.

Of the possible impeding aspects of the CMS as noted above, lack of trust and fear of losing control are very evident in the face of the Superior Courts of Arizona. The Arizona CMS project will have to take on those two major barriers to success without hesitancy. The literature

¹⁹ National Center for State Courts, *Implementing a Criminal Justice Information System: The Political Factors*, *Court Technology Bulletin*, 1997, page 7

²⁰ *Ibid*, page 7

that has been reviewed in preparing the project document has made frequent reference to the value of surveys in order to determine the size of the dragon that must be slain. As reviewed below under Methods, two surveys were planned and carried out. These surveys will be discussed in detail in the next section of this report. The first survey was directed to other states and their IT staff in order to discover how and how well they prepared their courts for the new system. The second survey focused on the Arizona court personnel and attempted to expose those trust and fear factors which needed to be directly addressed when doing the marketing phase of assimilation. Shelton captures the trust factor well on page 7 of the article when he states:

“As agencies begin to protect their “turf,” data sharing and information exchange come to symbolize the loss of power and control”.²¹

Hand in hand with the trust factor in all of the Superior Courts of Arizona having access to all data in the system is the fear of the AOC gaining more control of how they do business in their court, and how they manage their data. As stated previously, the advent of a new CMS will by its nature drive change. Again Shelton points out that in order for the project team to clear this hurdle it must do certain things in the assimilation phase to facilitate a certain amount of change in the mental state of the courts. Shelton expands the thought by saying;

“A common problem that perpetuates the above-mentioned factors {trust and the fear of losing control} is the lack of understanding among agencies and their personnel about the entire criminal justice process. Training, along with strong diverse leadership and feedback, is critical to the projects success. To ensure these measures are in place, the criminal justice leaders should plan to provide educational sessions, develop a project team that is representative of the criminal justice community, and establish a mechanism to provide constant feedback on the project’s progress.”²²

²¹ See Note 19 *supra*, page 7

²² See Note 1 *supra*, page 8

From this point he provides several options for getting this structure in place and not when the project is in implementation and deployment, but long before the software application is even out of the acquisition stage. The author is presenting a realistic view point of the landscape over which an automation project must travel particularly when there are no clear paths or signs to easily guide the project manager. Good advice for any new software project and its managers, including the Arizona case management system transition team.

Interestingly, the same bulletin quoted above contains a concise discussion by Lawrence P. Webster that he titles “Why Are Courts Difficult to Automate?”²³ Webster points out that even though many in the business will argue that the same processes for automating any other government or private entity should apply to the courts. Well, not so fast, he counters, because even though that may be true in general, the courts have a different combination of the same features as the other agencies or businesses.

“Understanding what distinguishes the third branch of government from other companies, agencies, and departments is essential to any effort to apply technology.”²⁴

Webster then lists six characteristics that make that distinction.

1. The judicial system is complex
2. Court processes are complicated
3. Data structures are intricate
4. Courts organize work differently
5. Judicial technology is not mature
6. Many courts are not ready for automation

²³ Webster, Lawrence P., *Why Are Courts Difficult to Automate*, *Court Technology Bulletin*, 1997, page 6

²⁴ *Ibid*, page 6

Although these six items may have evolved in recent years, the project management team still faces these barrier to success is some combination and in some level of severity. Even item five above is definitely in play as the Arizona experience of issuing a request for proposal has demonstrated that case management systems have come a long way but still require customizing and modification to get them ready for application. So, Webster, Shelton, and others provide some common ground in the subject of assimilation of the courts while preparing for a new case management system. However, the not so common theme of assimilation in general remains wanting of good, solid, well developed works of literature that go beyond the one or two page treatments. Again, if there were more literature pieces to find such as the J. Douglas Walker work, then those who must prepare for the seemingly ominous task of successfully implementing a case management system could gain critical information about assimilation and possibly ensure success. “Possibly” is the operative word because the project is never guaranteed no matter the level of effort expended in assimilation.

With the lead in from the last paragraph it is important to note an example of the project sponsors and managers not providing the attention to assimilation that they likely now wish they would have; and comparing that to a project which made sure the courts were thoroughly involved. The State of Minnesota provided documentation for this paper and noted that they are in their eighth year of their statewide deployment project. A significant contributor to the prolonged deployment was the lack of support from the trial courts. The courts were often not supportive because they did not feel prepared for the process or the system itself. Each court implementation has been longer than the project schedule allowed for, and after the courts did implement, there has not been positive feedback.

The State of Kansas planned a 24 month statewide deployment and engaged the courts significantly in order to succeed in that goal. Several staff from one court would be preparing the next court in the schedule for implementation therefore assimilating the courts as the roll out progressed. However, the wisdom of assimilation was evident as the documentation provided by the Kansas Project Manager indicated much more positive support for the new case management system as it progressed through deployment. Assimilation was a key factor.

Tools to Accomplish the Best Method for Assimilation

It is important to at least mention the tools by which this project will ensure it addresses the key subjects in its assimilation plan. The surveys mentioned above and their development, issuance, response and analysis were foundational to the assimilation project. Without this effort it is likely the project managers would have charged forth into the effort of preparing the courts for the CMS with blindfolds on and little sense of direction. Therefore, the survey of states who have been through this challenging process, and the experts that survived to tell about it, provided extensive lessons learned, how to overcome the barriers, and where to focus energies that enabled the Arizona project to attain a greater level of success without as much pain.

The other survey focused on the personnel of the 13 locations of the Arizona Superior Courts who will be impacted by the new case management system. This survey optimized the understanding of the issues to be faced, attitudes that were in play, and the concerns that are the result of past efforts. Obtaining this input from Clerks of the Court, Court Administrators, and other key staff, was foundational in preparing the plan for assimilation. A giant step toward buy in was accomplished when the courts felt that their trust and fear issues have been given voice, and that their knowledge of the court business has been requested.

Additionally, the National Center for State Courts has provided the CourTools measurement criteria and Arizona courts have taken note of their importance and validity. The CourTools performance measures, specifically those five major areas critical to Trial Court Performance Standards,²⁵ have been incorporated into the assimilation plan as reference such that courts can observe the progress of the project in a quantitative manner other than just the general question of “how do you feel.” The incorporation of CourTools has been described in greater detail in project methodology, but it is important to understand that because these “tools” have gained such prominence in the Arizona Superior Courts that the recently developed CMS Requirements Matrix incorporated a functional detail to mandate their use.

Conclusions: The Best, Most Convincing, Most Supportive, Most Contributory to Understanding of the Importance of Assimilation

Knowledge Management caters to the critical issue of organizational adaptation, survival, and competence in the face of increasingly discontinuous environmental change...Essentially it embodies organizational processes that seek synergistic combination of data and information processing capacity of information technologies, and the creative and innovative capacity of human beings.²⁶

Delving into the body of literature concerned with court automation has been a revealing and educational process. To say that the literature available is stimulating and exciting would be a stretch by any standard. However, there is certainly works that are informative and instructional. And even though this literature review has demonstrated the lack of significant works available, it has shown that there are articles concerned with court automation that did not forget the importance of assimilation...at least to some degree. Expecting to find a full length novel on the subject would be naïve, but this researcher expected more. Therefore, making note

²⁵ National Center for State Courts, *CourTools*, 2005

²⁶ See Note 11 *supra*, page 4

of those literature works that seem significant and will certainly be influential in the planning for the Arizona CMS project are worth stating again at the conclusion of this review.

At the risk of seeming repetitive, it must be re-stated the most significant treatment of the assimilation phase of the case management project is in the paper by J. Douglas Walker. As discussed previously in this project description, he utilizes two full chapters to detailed discussion of the court preparation and on going people expectations management. The topical headings of Chapter 5,²⁷ indicate a well orchestrated process to ensure that a project management team has not left any stone (or court issue as it may be) unturned and certainly a wise team would not attempt to short cut the process he outlines.

In Chapter 7,²⁸ the critical necessity to obtain court involvement in the project is again outlined such that a project manager shall begin very early in naming court staff to critical committees and task forces. Although this is also mentioned previously and may seem repetitive, it is important to re-emphasize that Walker is the author who bluntly states that it is a strategy for success to establish these committees and call the courts to serve thereon. The emphasis of this committee process as a strategy enforces his stand that the project of bringing a new case management system to a statewide judicial body can only success with proper planning and preparation. Again, even though the term assimilation is not specifically used seems obvious that his writing was created before the word was known as a project phase. The Arizona project will certainly make the word become well known because the project managers already realize its strategic importance.

Following some distance to the Walker publication are several short papers that are devoted purely to the idea that the courts are not particularly automation friendly and the

²⁷ See Note 7 *supra*, page 3

²⁸ *Ibid*, page 59

personnel within them are definitely not happy with change. The Lawrence P. Webster and Christopher M. Shelton articles from the Court Technology Bulletin,²⁹ noted earlier are good examples of several concise and to the point papers that give enough information for a hopeful project leader to want to find more complete information elsewhere. Even though this study will mention their works in a multiplicity of instances, the point to be made is that they are solely devoted to the subject although, once again, the key word assimilation may not be utilized. No matter, really because after several reviews of this line of publication the researcher begins to quickly recognize that the author just does not know he could use one term to capture the entire effort of preparing courts for automation.

Making sure that the myriad of publications that have provided in a manual or in book form, and have the great titles that make the researcher rush to their pages, and will not be ignored, we must mention them as a distant third for source material. These include the Victorian Law Reform Committee publication “Technology and the Law” in which the Australian Parliament actually visited the United States to gain first hand insight on the American move to automate trial courts. This publication provides description of the courts’ growth in acceptance of automation and admits that the US is significantly advanced beyond Australian Courts in this subject. Also the Court Management Library Series book, “Automating Court Systems”³⁰, also authored by Lawrence P. Webster will provide some preparation guidance for bringing courts to the brink of automation, although it will remain somewhat overly technical. Of this type of literature the most useful was the NCSC publication titled “Planning, Acquiring, and Implementing Court Automation”,³¹ again authored by the very busy man,

²⁹ See Note 22 *supra*, page 9

³⁰ Webster, Lawrence P., *Automating Court Systems, Court Management Library Series*, 1996

³¹ See Note 2 *supra*, page 2

Lawrence P. Webster. The manual provides some good instruction on assimilation requirements albeit brief and not fully developed. For the most part these manuals of instruction tend to focus on the technical issues and those issues associated with funding for acquisition. The researcher must find small references here and there that are worthy of noting for the assimilation project.

All of the works above, and many more mentioned previously, were utilized in the Arizona project planning process. The research into the literature that deals with this subject has provided much enlightenment and the project could never expect to achieved such a high level of confidence in success without having gone through the exercise of reviewing the literature works concerning the efforts of others attempting to implement statewide automation systems. Of course the proof is in the details and the Arizona case management system project has to paid close attention to the details of assimilation.

METHODS

A. General Research Design – Literature Review, Questionnaire Surveys & Follow Up Interviews

The research design model utilized the available source material as noted in the literature review, accompanied by two surveys and follow up interviews. This design model is the most logical approach for the study because it provides the most pertinent and relevant information necessary for defining the role of assimilation in the implementation of a statewide case management system. Research involved five steps:

- Literature Review;
- Survey of Three Other States;
- Survey of Arizona Court Users;
- Follow Up Interviews; and,
- Accumulation of Results and Discussion of Conclusions

Following a brief introduction of each step details associated with each are provided.

1. Literature Review

As illustrated in the literature review supporting this paper, there was some research of the available documentation addressing assimilation. However, the simple truth is that there is limited writing on the subject and many authors bury the topic somewhere discussion of the decision to pursuit automation and the actual implementation.

2. Other States Survey

It was evident when reviewing literature studies of assimilation that there would need to be data and information from those who had been through the grinder of a statewide case management system implementation and lived to tell about it. Determining the method to obtain their “story” made for some relative difficult process evaluation. Survey method was chosen as the vehicle to gain the input from the key management and support personnel in three states (Minnesota, Kansas and Missouri) known to have gone through the process and were known to be well documented concerning the outcome of their project. This survey began from a universe of six states Minnesota, Missouri, Kansas, New Mexico, Florida, and Indiana yet finalized with input from three because of the criteria needed to ensure relevant data. However, not stopping with the survey, those key individuals responsible for the implementation were asked a series of questions during a follow up telephone interviews. Details concerning the survey population and the survey itself are provided below.

3. Arizona Superior Courts Survey

For the same purpose as described in item two above, it was determined that the court staff and Administrative Office of the Courts (AOC) personnel would be a valuable source of data and information concerning the importance of assimilation in the implementation of a statewide case management system. It is important to maintain consistency of the data and information gathered by the out of state and in state surveys in order to ensure worthwhile comparative analysis. Therefore key personnel from selected court locations and within the AOC were provided the

survey. Response was very good and allowed for interviews of key personnel to obtain dependable and supportable data. Details concerning this survey, the survey population and the survey are included below.

4. Follow up Interviews of Key Personnel from Other States and Arizona

To reiterate the above, interviewing the principle persons associated with the implementation of case management systems was vital to successful completion of this study of the assimilation process.

Once identified by survey response, it was logical to obtain expansion of their comments by voice-to-voice or face-to-face discussions and therefore ensure that project management for the Arizona CMS has as much possible first hand, based on experience, kind of information available. The participants were willing to share their experience and lessons learned because of a true desire to assist another court entity and help avoid the pit falls that can plague such a project. A wealth of frank and direct information was gathered and has been built into the project documentation for assimilation.

5. Accumulation of Results and Discussion of Conclusions.

Perhaps the most challenging sub-task of this study was the gathering of all the information and determining just what conclusions could be drawn from it all. Besides being the most challenging it was also the most critical. Understanding how the information was most meaningful to preparing an assimilation phase of a project, and then actually applying that information, proved to be a point of serious study and reflection. However, the energy was not in vane because the raw data that became documentation, that became a project plan, that became a

direct management tool for the project managers, ensured a level of expected success that would not have been possible otherwise.

B. Literature Review

The instrument used is Literature Review, or the review of applicable published information on the subject of assimilation. Certainly it would be foolish to believe that one could reinvent the wheel and improve upon it. Besides with an almost infinite application of wheels in our world today, how would one ever know that their reinvented wheel satisfied them all? Similarly, it would have been foolish to embark on a project of implementation of a new case management system with the intent of ensuring assimilation is successful without researching what has already been done by others. Therefore, and to that end a thorough study of literature available on the subject was conducted. The details of the review are reviewed above in the Section III of this report.

Adjustments to the instruments included expanding on the literature reviewed as well as to bring such information forward to current conditions. As discussed in the literature review, there is actually limited published information on the process of assimilation in a case management system implementation project. Bringing the information gathered from reading and studying many pieces of varied documents became a worthy endeavor but it was evident that expanding on the already published information would be required. After all, none of the authors of the existing literature had ever faced the challenges of the Arizona court system and the formidable foe its staff provided.

C. Other States Survey

Surveys and interviews of courts in other states who have implemented a statewide CMS were completed. A survey consisting of five sections for a total of 32 questions asking for the respondent's opinion on various aspects of a case management system statewide deployment, with which they were associated, was forwarded to six lead IT and business staff in three other states. Appendix A is a copy of the survey form and the associated rating scale with a spread sheet for capturing the data. The survey (See Appendix A) has five sections and 32 questions: Communication (six questions); Standardization (three questions); Project Management (eight questions); Project Objectives (seven questions); Court Assimilation and Planning (ten questions).

The entities surveyed were chosen because of the size and scope of the project, and because there were multiple references to those projects in the source material for the literature review. Additionally, while performing a tour of states to review vendors of CMS, users in those court systems frequently referred to those states as worthy models. Both states had internet sites that gave details of their projects and listed the management personnel responsible for implementation of the system. Therefore, locating those who should receive the survey was simplified. However, in the case of one state the website had not been updated and therefore some further research was necessary by telephone calls to locate the current manager. Nevertheless, those contacted were willing to respond frankly and without much follow-up. Later in the process of this paper's data collection, the interviews by telephone were also well received by the manager, and they provided significant time and discussion.

Pre-Tests with AOC personnel who have also been involved in statewide CMS implementations in other states were conducted. In order to ensure the survey questions would accomplish the intended purpose, they were given to key individuals at the Administrative Office of the Courts. These individuals had been involved in similar statewide CMS projects. They were asked to use their knowledge of such projects and the management thereof to determine that the question would obtain a worthwhile response. These individuals were asked to review the question for clarity, applicability to the subject, relevance to the project, ease of responding and the ability to fit the responses 1 to 4. They were also asked to provide input on format and function. Therefore they provided redlining and comment on the survey. There is no doubt that the exercise was worthwhile because of the responses received were so pertinent to the project.

The survey sample respondents are specifically determined by the criteria below.

- a. Universe for the survey is from all states that have embarked on some level of court automation, whether localized or statewide, and a segment of that automation had something to do with case management systems.
- b. Size of the population is six states (Minnesota, Missouri, Kansas, New Mexico, Florida, and Indiana) known to have attempted a statewide CMS. These states were discussed in some of the literature that was reviewed but also there was a tour of states performed by the managers of the Arizona Project in the winter of 2007 that located other entities that could be considered for the purpose of survey. This provided a

total population of six from which survey information might be worthwhile.

- c. Size of the actual sample was three states that statewide systems were most mature and therefore have the greater amount of experience. Although the population was six states it was not realistic to attempt survey of all. The relevance of each of these states experience to the Arizona Project was considered as well as the size of the project and the complexity of implementation. The ability to locate contact information for the key individuals in that state was important. The likelihood of getting a response was also considered. Also the timeline of gathering the data and in relationship to completing this paper had to be reviewed.
- d. Methods for choosing the sample are based on the requirement to have courts that would provide a complete life cycle of the process. There were states represented in the population that had been in the project schedule for implementation of a statewide CMS for extended periods of time but had not completed a court or even a module within one of the courts that were on the schedule for deployment. Therefore, upon review of the progress of the Minnesota, Missouri and Kansas projects the sample was determined to be most effective if these were the ones surveyed.
- e. Rate of response was limited (three of six) and although this was not surprising there was anticipation that there would be greater detail

provided. Nevertheless, the responses were sufficient to gather worthwhile data that has been incorporated into the project plan. As expected, the response rate was directly proportional to the number of those who were sent a survey.

The data collection site is the home office of the author. In most cases the home office was the location for creating this paper and therefore the survey was distributed from there and the return address was the same. This proved to be conducive to good work periods inasmuch as interruptions were limited and the equipment has been very recently upgraded to an I-Book with a very robust word processing application.

Data collection was completed from August, 2007 to November, 2007. From the point of developing the survey in early August to the actual deployment of the survey and then collection of the responses took just over eight weeks. The survey development was based on the review of similar surveys that were attempting to accomplish the data collection for an assimilation process. Once a draft survey was developed it was necessary to have the pre-tests completed in an expeditious time frame. With the pre-test information collected then the survey could be revised where necessary and a final format and content could be determined. This was completed quickly in order to get the surveys into the field by early September. The selected survey individuals were asked to respond in equally expeditious manners which in hind sight it would say that caused the limited response. However, the data was derived from the responses, summary totals were calculated, conclusions were drawn, and the project plan was updated to reflect what was learned from the survey responses.

The data was collected by the author of this paper. There were no others who assisted with the process. Surveys were developed and distributed by the author of this paper. The responses were likewise received by the author and the data collection and application as well.

Data collection required approximately 60 days to accomplish. As noted in above, the process of developing, distributing and receiving the surveys was initiated in August, 2007 and completed by early November, 2007.

Survey responses were controlled by providing limited response ranges 1- 4. A Spread sheet was developed to capture the responses and sample survey is presented in Appendix A.

The statistical procedure utilized is based on standard survey methods of other entities as the NCSC, and other state agencies that have issued surveys for the same purpose. There is significant survey development information with examples in the NCSC online library of source material. Using these sources to develop a survey for the Arizona Project proved to be very practical.

Problems and issues encountered with data collection method primarily related to those requested for response to actually do so. As noted above, the population was reduced from six to three and then those who actually responded ended at two. The pre-tests substantiated that the survey was not onerous or intimidating and therefore in spite of the five sections totaling 32 questions it was expected that the individual would not require more than 45 minutes completing the survey. Nevertheless, those asked to respond are very involved individuals and any time interruption likely seems difficult. The individuals in the pre-test actually completed the survey in less than 30 minutes and even provided comment and redline for improvements. Therefore the survey itself would not seem to be a substantial cause of problems or issues with data

collection, but rather the individuals asked to respond lacked sufficient motivation. If this data collection method of survey of out of state key individuals associated with statewide CMS projects was to be utilized in the future, lessons learned have proved that an earlier start, larger sample size, and perhaps substantial follow-up would have resulted in a greater level of response.

D. Arizona Superior Court Survey

Survey and interviews of Superior Court personnel in the state who have implemented the current statewide CMS was the purpose of this data collection process. The survey (See Appendix B) has five sections and 33 questions; Communication (six questions); Standardization (two questions); Project Management (eight questions); Project Objectives (seven questions); Court Assimilation and Planning (ten questions) closely track with the survey of other states. This grouping of questions are asking for the respondent's opinion on various aspects of a case management system statewide deployment, with which they were associated previously in the state of Arizona, was forwarded to selected key managers in several of the Superior Courts. Appendix B includes a copy of the survey including rating scales and the spread sheet template. These courts are part of the upcoming statewide CMS project and are currently utilizing the legacy system known as Aztec. Additionally, while performing a tour of the state courts to review the legacy CMS, users in these courts systems were noted for their level of involvement in Aztec today as well as the deployment of versions in the past. Therefore, locating those who should receive the survey was simplified. However, in the case of some superior court staff it was difficult for them to commit and further research was necessary to ensure they would respond. Nevertheless, those contacted were willing to respond frankly and without much follow-up. Later in the process of this paper's data collection, the interviews by telephone were also well received by four respondents and they provided significant time and discussion.

Pre-Tests with AOC personnel who have also been involved in statewide CMS implementations within the state of Arizona were carried out. In order to ensure the survey questions would accomplish the intended purpose, they were given to key individuals at the Administrative Office of the Courts. These individuals had been involved in the original Aztec implementation and its subsequent version upgrades. They were asked to use their knowledge of this specific project as well as others managed by the AOC to determine that the question would obtain a worthwhile response. Just as they were asked to do in the out of state surveys, these individuals were asked to review the questions for clarity, applicability to the subject, relevance to the project, ease of responding and the ability to fit the responses 1 to 4. They were also asked to provide input on format and function. Therefore, in addition to answering the questions as if they were a requested respondent, they also provided redlining and comment on the survey. There is no doubt that the exercise was worthwhile because of the responses received were so pertinent to the project.

The sample respondents were determined by the criteria listed below. Again, the process was very similar to the other state survey. This was by design such that the data collection by survey method would have relational criteria and therefore be of greater relevance to the Arizona CMS Project.

- a. Universe is managers from 13 Superior Courts that implemented the current statewide case management systems or subsequent upgrades to the system. Universe also included current users who are considered expert on the Aztec system or have experience with automation had something to do with case management systems.

- b. Size of the population is 24 subject matter experts and managers known to have participated in the statewide CMS implementation or subsequent version upgrades and other AOC managed software implementations. Most of those surveyed were known to the author after several years of networking with other court personnel in order to complete court business or while attending state sponsored educations and training programs.
- c. Size of the sample is 16 SME's and managers from the population in "b" above. Survey responses and sample survey from individuals was as directed and thorough as shown in Appendix B, Arizona Superior Courts Survey. Because of the pre-tests on the survey and because the survey development is based on the samples from NCSC and the states who have embarked on the same project, the respondents, with the possible exception of one, did not express difficult with the content or format or with the time commitment necessary to complete the survey. Receiving 16 out of 24 total population is considered by the project as successful.
- d. Methods for choosing the sample are based on the requirement to have samples that would provide a complete life cycle of the process, and have been involved in the only other attempted statewide CMS deployment in the State of Arizona. Also a consideration for the sample was that the respondent be very familiar with the Aztec CMS version upgrades such that they could knowledgeably respond to

management and deployment queries. Further, if the user had been recommended by their management because of the ability to provide comparison with Aztec and other CMS implementations elsewhere, then they were considered as very good to survey.

- e. Rate of Response was high (16 of 24 total) and therefore the survey was considered successful and extremely relevant to the project. Because of a high rate of response the effort of developing such a survey is considered very worthwhile.

The data collection site is the home office of the author. In most cases the home office was the location for creating this paper and therefore the survey was distributed from there and the return address was the same. This proved to be conducive to good work periods inasmuch as interruptions were limited and the equipment has been very recently upgraded to an I-Book with a very robust word processing application.

The data was collected by the author of this paper. There were no others who assisted with the process. Surveys were developed and distributed by the author of this paper. The responses were likewise received by the author and the data collection and application as well.

Data collection required approximately 60 days to accomplish. As noted in above, the process of developing, distributing and receiving the surveys was initiated in August, 2007 and completed by early November, 2007.

Survey responses were controlled by providing limited response ranges 1- 4. A spread sheet was developed to capture the responses and sample survey is shown in Appendix B, Arizona Superior Court Survey. There were no open ended unscaled questions. As stated previously because of the survey development based on NCSC examples and samples from other

states, the possible responses ranging from 1 – Strongly Agree to 4 - Strongly Disagree enabled the data collection to be concise and specifically pertinent to the project (see Appendix B for details).

The statistical procedure utilized is based on standard survey methods of other entities as the NCSC, and other state agencies that have issued surveys for the same purpose. There is significant survey development information with examples in the NCSC online library of source material. Using these sources to develop a survey for the Arizona Project proved to be very practical.

Problems and issues encountered with data collection method primarily related to motivation of those requested for response to actually do so. The pre-tests substantiated that the survey was not onerous or intimidating and therefore in spite of the 33 questions it was expected that the individual would not require more than 45 minutes completing the survey. Nevertheless, those asked to respond are very busy individuals and any time interruption likely seems difficult. The individuals in the pre-test actually completed the survey in less than 30 minutes and even provided comment and redline for improvements. Therefore the survey itself would not seem to be a substantial cause of problems or issues with data collection, but rather the individuals asked to respond lacked sufficient motivation. There is some resistance to AOC sponsored surveys by the court staff throughout the state and that had to be considered. This probably contributed to some of those requested to survey deciding not to do so. If this data collection method of survey of key individuals associated with Arizona statewide CMS projects was to be utilized in the future, lessons learned have proved that an earlier start and perhaps substantial follow-up could have resulted in a greater level of response.

E. Follow up Interviews of from Other States and Arizona

Follow up interviews were carried out through a free form phone or face-to-face question and answer process. No specific list of questions was developed for this process, rather the respondent was asked to expand on some of the questions from the survey. Additionally they were asked to elaborate on the positive or negative aspects of the project they were most closely associated with.

The pre-test to the interviews would be concerned with the surveys and the responses that the key personnel provided. It was determined that the survey questions were developed well enough to be the basis of interviews with key personnel. Therefore, the pre-test process that was applied for the survey is considered sufficient for the interview process.

Sample criteria for determining the key personnel interviews were largely determined by those who were willing to participate and were logistically feasible. From conversations when meeting a respondent at a conference or via a telephone conversation, etc., a potential interviewee was determined. If the process of gaining the interview was logistically feasible given the time frame allowed and any geographical considerations were not relevant, then the respondent was a possibility.

- a. Universe for the survey was determined from the 24 individuals who were given surveys.
- b. Size of the population was the total of 16 personnel who actually responded to the survey for the in state interviews, and the three out of state respondents.
- c. Sample size was determined from the 16 actual respondents and those who were willing to provide time to be interviewed. Logistics of obtaining the interview was also considered.

The data collection site was the location of the person being interviewed or the author's home office. If a telephone interview was conducted then the work office was utilized.

The interviews were conducted by the author and the information noted in hand written form. No formal record was made of the interviewer's comments but the author utilized the notes when developing the process of assimilation in the Arizona Project.

Return rate does not apply as all those chosen for interview, allowed the author to do so. The interviewee was not asked to participate unless it was previously determined that they would answer questions.

Data collection or the interviews were completed in November, 2007. After the survey results were completed, the interviews were scheduled and completed in November. This allowed time for the information gathered during the interviews to be incorporated into the assimilation project plan. It was imperative to ensure the interview notes were incorporated because of the practical nature of the information. Regardless of the answers to survey questions, the interchange between interviewer and interviewee was much more candid and open.

Statistical procedure was the process of face-to-face interview, or in the case of the telephone interview it was voice-to-voice. This allowed for the most direct interview process and allowed the timeline for data collection to be maintained.

Problems encountered with the process of interviewing the key personnel were primarily an exercise in scheduling time with the person being interviewed and ensuring that both the interviewer and respondent were able to keep the appointment. There was also the issue of keeping the respondent on track with the intent of the interview when at times they would want to expand too far into general AOC issues or war stories of projects gone badly. At times the

interviewer would have difficulty extrapolating notes out of the interview discussion that were worthy of the process of assimilation, yet in most cases a return to the survey question would allow for the discovery of relevant information. In all, the interview process proved to be as valuable as any other data collection process although the amount of relevant data compared to the time required to obtain it did not make it a good return on investment.

F. Accumulation of Results and Discussion of Conclusions.

Accumulation of the survey results was maintained in an Excel spread sheet as indicated in Appendix A and in Appendix B. The spread sheet is also used to tabulate the results and provide statistical information. The findings derived from the literature review, surveys, interviews and other sources of data are provided in discussion and illustration and are part of the Findings and Conclusions and Recommendations sections of this paper.

FINDINGS

A. Overview of Findings and Results

The focus of this paper has been to gain support for and information about the assimilation process as it applies to the implementation of a statewide case management system. To that end, all of the data collection and information gathering have required an eye for the gleaning those data points that will provide particular findings for the title of this study:

“Assimilation: Key to Successful Implementation of a Statewide Case Management System: Arizona Case Study”

From the beginning of Literature Review to the final piece of data collected by the survey and through the interviews of key individuals, the intent remained with finding the element of assimilation that applied. Research rate was brisk because of the time frames required and yet there was the continual requirement for sound and accurate information. Therefore, the findings and results would be directly applicable to the project faced by the Arizona CMS team.

B. Data Collected from Sources

Source material and the Literature Review have been thoroughly presented that section of the paper but it should be re-emphasized that this formed the foundation of the data collection process. Findings and results from the other data collection methods were more easily understood because of the research of literature that addressed similar projects and processes. It is likely that without that foundational understanding even the development of the survey may not have been as well conducted and certainly the results of the survey would not have been as easily brought to conclusion.

The survey and interviews of out of state sources was developed with the intent of understanding what has already been done without re-inventing the wheel. The questions were developed such that findings could be more easily applied to the Arizona Project. A review of the questions and the corresponding responses is necessary to illustrate the full impact of the data collected via this method. Refer to Appendix A, Other States Survey, for the detail and summary portions of the survey.

Through the first five questions it is intended to determine the level of central agency direction and support of the CMS project as it was deployed through the state. These questions allowed for other than a 1 – 4 response so that it could be determined just what positive or negative aspects were provided by the central agencies. Questions in category Case Assimilation and Planning, number one asks the respondent branch of government decided that the CMS project would be embarked upon. Two out of the three stated that the Judicial Branch alone made the decision to implement the statewide system. Question one in Project Management asks about the possibility of problems caused by inadequate leadership from this branch of government and interestingly there was no negative response as they each state “none”. This may be due to the fact that the respondent is a part of the judicial branch and they are protecting their domain. Question two in Project Management simply wants to determine the government office that made the announcement and therefore became (whether intended or not) the champion of the project. The findings were very much one of the central court administration office (AOC) along with some other groups affected by the CMS. Finally question one in Communications category asks how well communication was administered by the central agency concerning the goals and objectives of the project with a finding that is

positive. Below in Table A, it shows the communications with the projects in other states was sufficient.

Table A: Communications – Other States

Communications	Good	Average	Not Good
Clear Source of Mandate	1	2	0
Clear Goals	0	3	0
Communicated Effectively to Project Mgt	0	3	0
Insufficient User Input	0	1	2
Users Kept Informed	0	3	0
More Detailed Assimilation Plan	0	3	0
Total	1	15	2

The survey question five in Project Management addressed the ever difficult issue of funding and even though there was not a high level of detail in the questions, it was evident that funding must have been explored prior to the advent of the project. The respondents stated disagreement that there were problems related to funding except for the Missouri response which agreed that they had funding issues. The result for this paper is that all funding was determined early in the project and then an eye to ensure staying on budget was constant. In project management surveys Table B below shows there was sufficient project management for their project.

Table B: Project Management – Other States

Project Management	Good	Average	Not Good
Major Problems Related to Funding	0	1	2
Project Broken into a Series of Phases	0	3	0
Time Schedules Built into each Phase	0	3	0
Insufficient Authority at Project Mgmt Level	3	0	0
Sufficient Time on Project Mgmt	0	1	2
More Personnel Assigned	0	1	2
Total	3	9	6

The survey questions two and three in Court Assimilation and Planning were attempting to determine the uniformity and cohesion of the governing body (AOC) and thereby the communications and leadership would be consistent throughout the court system. Again the Minnesota finding was more positive than Missouri as they indicated unity. Knowing the overall success of Minnesota as compared to Missouri, this was very important information in support of the assimilation phase of the project. In question three of Court Assimilation and Planning there is a query about the resistance of the trial courts to automation and because the response supports the fact of resistance the requirement for thorough assimilation of the courts was substantiated. Of course communication is always known to be challenging and the cascading of the goals down to all levels of the organizations was supported by questions two of Communications, and question two of Project Objectives, and both the states agreed there was decent communications.

In order to ascertain the level of standardization already existing in the courts, the following two questions, one and two of Standardization asks for the finding of uniformity in business process. It resulted in the response showing agreement with a level of standardization already existing and a surprising finding that the system deployed was designed to conform to existing data standards as shown in Table C.

Table C: Standardization – Other States

Standardization	Good	Average	Not Good
Courts Operate Uniformly on Rules & Procedures	0	3	0
Conform to Existing Standards	0	3	0
Implementation Problems Non-Standard Procedures	0	3	0
Total	0	9	0

In questions of Court Assimilation and Planning some implementation issues are addressed. The findings indicate that prioritizing the courts in an order of implementation was an issue and that fact has been substantiated by the events of the Arizona project thus far as illustrated in Table D below. Also, the findings support the fact that prioritization of the courts for implementation was directly affected by the level of standardization and uniformity of business practice. And in question three of Project Objectives agreement was indicated that refining goals (and perhaps changing them) was allowed could result in inconsistent implementation (multiple versions) or would allow for application of lessons learned.

Table D: Court Assimilation and Planning – Other States

Court Assimilation & Planning	Good	Average	Not Good
Problems Prioritizing the Implementation	0	3	0
User Involvement in System Design	0	3	0
Problems Too Much User Interference	0	1	2
User groups represent Interests of all Sites	1	0	2
Utilize More Court Staff in Training & Implementation	0	3	0
Total	1	10	4

Through questions four, five, six and seven in Project Management was the focus. In order to obtain a range of findings concerning the management of the project the questions concerned the breakdown of the project into phases as well as communications and feedback processes. Certainly the findings support the need for project managers who are thorough and dedicated to successful communications. Agreement to project phases structure was universal and the fact that some schedule slippage did take place provides a finding that supports assimilation of the courts to include the on-going communication process from the central agency to all levels of the court community who are part of the project. The findings also support the need for time to sufficiently manage a project. However, time is not always available and along with other factors, the results indicate that there was not sufficient authority given to the project management team and the support from the highest levels of the judicial organization may not have been adequate.

From the literature review it was evident that user participation was critical from the very beginning of the project. Assimilation is the process by which the user can be

made to feel ownership of the new CMS. Therefore, questions five, six and seven in Court Assimilation attempt to gain understanding as to the user group criticality for the project being successful. It would appear from both the Missouri and Minnesota projects that the user factor was well managed inasmuch as the findings so agreements that there was not too much or too little involvement of the users from system design to implementation. The Missouri result did indicate that the user group had difficulty in representing the rest of the user community. This finding has had significant impact on the Arizona Project resulting in an effort to ensure a wide range of courts are represented in the user group and that all courts have an opportunity at some point in the process to provide input. Also the finding of communications to the users as critical was also substantiated in question 27 noting that the respondents agreed that the users were informed of decisions and rational during the design of the system. All of this user involvement finding was well understood and applied to the Arizona Project where as many as 80 users have been involved in one way or another during design phases of the project.

For very specific information on the assimilation phase of their project, questions six and seven of Project Objectives as well as questions five and six of Communications asked for input on the success of marketing the project to the courts to be implemented. For example, question six of Project Objectives poses the question of how important is marketing of the project because of the time and resources levels applied. However, the findings were surprising as the respondents all disagreed that more of each should have been applied. Only after interviews of the key individuals was it understood that the reason for this was that both Missouri and Minnesota expended extensive amounts of

time and resources to continually market the system from its conception through deployment. Yet they actually believed that more resources applied to assimilation would have been helpful to the outcome of the entire project.

Table E: Project Objectives & Performance – Other States

Project Objects & Performance	Good	Average	Not Good
Funding Adequate to Meet Goals	0	3	0
Project in Major Phases	0	3	0
Flexibility for Refining Goals	0	3	0
Schedule Slippage During Design & Development	0	3	0
Schedule Slippage During Implementation	0	3	0
More Time & Resources to Marketing Project	0	0	3
Expended More Time on Obtain Court Participation	0	1	2
Total	0	16	5

So that some understanding of the importance to levels of staff participation, questions eight of Court Assimilation and eight of Project Management were added to the survey. An interesting result was that the findings and results of the survey would indicate that greater levels of court staff participation in training and implementation phases would be useful. However, it would appear that there was not a need for a greater level of staff in project management. This would cause the managers of the Arizona Project to have to settle for a very lean project management group. That has been the case and yet experience thus far would differ from the findings of the survey. Lean project management although better than lean project staff still is problematic and will have impact on the timelines and other success factors of the project.

The other state survey and follow up interviews accomplished what was desired and provided findings and results that had direct impact on the project plan for assimilation of the Arizona Superior Courts for the implementation of the new case management system. If time and resources were of greater abundance even this process could have been improved upon as the author could have directed a team of survey specialist so to accomplish such. However, this was not available and therefore the findings and results are considered sufficient for what can be applied to the actual project. That has already been accomplished and the Arizona Project has progressed successfully thus far because of what was learned about assimilation in this survey and interview process.

Much of the same as said above about the other state surveys can be said of the survey and interviews of Arizona sources (see Appendix B, Arizona Superior Courts Survey). However, the survey format was much more direct for this group in order to gain the information specific to the assimilation process. The format was categorized into the topics of greatest concern for the court personnel that the survey was targeting. The results were not particularly surprising in their slant toward the negative but the level of consistency in the range of disagree to strongly disagree was somewhat alarming. There are a significant number of negative “tales” that exist in the Superior Courts and the project managers for the new CMS have heard most of them, however, receiving so many negative numbers was not expected.

Again, because communications are so basic to the success of any project that category led off the survey. Clearly identified for the first six questions, it was easy for the survey respondent to understand where the questioning was leading. Only two

questions received a positive response with the first question asking the court staff if they understand from where the mandate that they implement a case management comes from and number six which concerns improved communications. This is not a surprising because in their minds, all onerous work comes from the AOC. Following this is question two, asking about their being given options for implementation, the average score is 2.6 with three respondents stating a 4 - strongly disagree. The same trend was continued with the questions three and four concerning clear, specific and frequent communications. These averages also ranged from 2.5 to 2.7 indicating less than satisfied personnel in the courts. The project management team has been very aware of the communications issues that they have to overcome if they want to have a successful assimilation phase to the project.

A simple tabular illustration of how important communications is viewed by court users is demonstrated below in Table F. The original survey responses are narrowed for comparison's sake and clearly illustrates that the court community feels they have not been well communicated with and thus not well assimilated prior to the project deployment phase.

Table F: Reality in the Numbers – The View of Past Communications

Communications	Good	Average	Not Good
Clear Source of Mandate	11	5	0
Options for Implement.	0	9	7
Clear Expectations	0	11	5
Frequency	0	9	7
Continuous	3	8	5
Total	14	42	24

The standardization questions were more directed at gaining a sense of the court staff’s recognition of the effort that has taken place since the deployment of Aztec. There was obviously a sense that it had not existed to any degree before the deployment and yet certainly it has been in progress for years in anticipation of the new case management system that is coming along to replace Aztec. A simplified look at standardization further illustrates the importance ensuring that foundational work is part of your assimilation process as illustrated in Table G.

Table G: Standardization Results

Standardization	Good	Average	Not Good
Data Standards Uniform	2	4	10
COT Direction on Standards	4	11	1
Total	6	15	11

Project Management as a category produced findings that definitely exceeded expectations. Few of the responses were positive and with the exception of number six they ranged well into the 3 - disagree. Question six, placed in the question string to check for the trend for answering just to be negative, also had a disagree range at 2.6 but if the response string would have been consistent this would have ranged the other direction toward one. Nevertheless, the message of the findings was clear that users in the court community do not believe that the AOC projects are managed well and that this may be the single most contributing factor to the failure of projects. Table H below reflects the lack of project management in the eyes of the courts.

Table H: Project Management for Aztec Implementations

Project Management	Good	Average	Not Good
Knowledge of Proj. Mgmt.	0	4	12
Vision of the Project	0	6	10
Strong Leadership	0	6	10
Contact Project Manager Easily	0	8	8
Requests for Assistance	0	5	11
Lack of Leadership	0	9	7
Aware of Overall Project	0	8	8
Available Resources Allocated	0	3	13
Total	0	49	79

The category addressing Project Objectives and Performance also substantiated the attitude of the court staff toward AOC projects with consistently posting scores of strongly disagree. The only average score of a question that was not in 2.4 or lower was questions six and seven that said there were sufficient goals to motivate the courts and allow them to embrace the project, and that some of the goals were not well stated. However, these scores averaged only 2.4. As Table I below illustrates those that responded to survey were about equal with it being between average and not good.

Table I: Project Objectives & Performance

Project Objectives & Performance	Good	Average	Not Good
Made Aware in Advance	0	10	6
Opportunity for Input	0	6	10
Kept up to Date as Progressed	0	8	8
Kept on Track, Notified if Delay	0	6	10
Flexibility in Schedule	0	8	8
Unrealistic or Inappropriate	1	10	5
Effective Motivators to Embrace	1	8	7
Total	2	56	54

Just to make sure nothing was too vague or left to misunderstanding, the final category was developed to be very specific to the focus of this paper, “Court Assimilation and Planning”. The first question illustrates the challenge faced by managers of the new case management system because it is obvious the courts are still recovering from the Aztec experience. The question specifically asks, “There was a well publicized campaign to advise the courts of a new software or case management system”. The average response was 2.5 with only a slight margin between 2’s and 3’s. This finding makes it clear that there is even confusion if there existed a campaign at all, but certainly a well publicized campaign it was not. Making the courts aware of their role was also an obvious finding of negativity and even though it can be said that courts will always remember the worse case situation, questions two through five were consistent in their negative spin on how assimilation was carried out in the previous projects. The range of these responses was from 2.3 to 2.8 once again showing a somewhat negative trend. The

next three questions in this category are to gage the general satisfaction with how the court was given an opportunity to buy into the case management project. Again consistent with the previous categories the ratings were low with a range toward disagree. The final question asks the respondent to make a statement about how they feel about thorough and frequent information exchange across the life of the project if it is to be successful. This received the most positive score of all queries, 1.0. The author believes this is a significant indicator for making assimilation as critical as any other aspect of the project. Table J demonstrates below the court assimilation process in Arizona for the Aztec Case Management System.

Table J: Court Assimilation and Planning for Aztec

Court Assimilation & Planning	Good	Average	Not Good
Publicized Campaign	0	10	6
Made Aware of New Project	0	14	2
Briefing Sessions	0	4	14
Time Frames Preparing for Implementation	0	9	7
Adequate Flow of Information	0	10	6
Satisfied with Information on Project	0	5	11
Access to Websites, Newsletters	0	8	8
Informed and Kept Abreast of Progress	0	12	4
Thorough & Frequent Information Crucial	16	0	0
Total	16	72	58

As stated earlier the interview findings will substantiate the findings of the survey and even though they will not receive significant press in this paper, the notes retrieved at the time of the interview have been applied where it is logical in the project plan. This is not to diminish the importance of the interview, but because they were informal “what do you think” formats, the formal accumulation of the information was not necessary for this paper. Consistent in both instances of interviewing out-of-state respondents and in-state court staff was the tendency of the person being interviewed to become personal in their discussion of the events and issues that occurred. However, where the information was applicable it was captured.

C. Illustrative Representations of the Data Source Findings

The following listed illustrations included in the Appendix are the tabular summary representations of the survey results and findings.

Appendix A: Other States Survey

Appendix B: Arizona Superior Court Survey

Appendix C: Graphic Illustration of Survey Results

Appendix D: Project Schedule for the Arizona CMS Implementation

CONCLUSIONS AND RECOMMENDATIONS

CONCLUSION 1: THE ASSIMILATION PROCESS IS THE SINGLE MOST CRITICAL ASPECT OF THE CMS IMPLEMENTATION PROCESS

The findings of this study are summarized as the fact that in spite of most entities attempting to implement a statewide CMS they neglect to realize the assimilation process critical to a successful implementation. The assimilation process is the single most critical aspect to ensure the court entities are prepared for the changes that the new CMS will bring as well as to support the implementation team when they arrive. Challenges and issues with the assimilation process as noted by this research are as follows.

- Automation by its nature will always mean change to the court and its staff.
- Courts and their staff in both the general and the specific sense do not like change of any kind (accept an upward change in their wage).
- Implementation of a new case management system must address change because the project will directly affect the courts' business process.
- The new case management system and its impact on the court must be planned for.
- Assimilation of the court is the process of planning to manage the impact of the new CMS on court staff and gain their buy-in for success.
- Educating the courts' that change is inevitable but does not need to be perceived as negative impact is also a task of the assimilation process.
- Assimilation also makes the court aware that planned change through the new CMS is an opportunity to bring significant improvement to the court and the method by which this concept is presented to the court will ultimately determine the success of the CMS implementation project.
- Marketing of the new CMS via a well orchestrated assimilation phase to the project is best accomplished in phases but certainly these phases must begin well before the first pilot court begins implementation.
- The marketing strategies put into play via the assimilation process must be thorough and reach all levels of the court management and staff.

- Even though the assimilation phase of a project is usually understaffed and short on budget, wise project managers will drive their funding sources to not allow this trend to be perpetuated.
- Communications for project must be channeled through project management. This includes out-going and in-coming communications to ensure continuity, consistency, and reduce the spread of mis-information.
- The success of any case management implementation project is directly related to the success of the assimilation phase.

CONCLUSION 2: THE CURRENT LITERATURE, ALTHOUGH NOT ROBUST, IS WORTHY OF THE TIME TO UNCOVER ITS EXISTENCE AND INCORPORATE THE INFORMATION INTO THE PROJECT PLAN

The result of the research in this study supported much of the information discovered in the literature review. However, the problem of lack of attention to the assimilation process was the greatest exposure brought about this in this study. This fact is most exposed in the literature review, but the survey results would indicate this indirectly as well. The primary theme of the survey results could be stated as “the central agency of the state, responsible for the statewide CMS deployment, did not prepare the court sufficiently for implementation and we therefore were not successful.”

RECOMMENDATION 1: ENSURE ASSIMILATION IS ADEQUATELY ADDRESSED IN PROJECT PLANNING

Practical implications of the paper’s findings are that the assimilation process will be thoroughly applied to the statewide CMS to be deployed in the State of Arizona Superior Court and its 13 locations. From the research in literature it became clear that the assimilation process was not adequately addressed and after the survey responses were received the history they represented substantiated the same. Actions to accomplish this will be incorporated into a detailed project plan, Appendix D, complete with schedule and timelines. This project plan will be accepted and authorized by the

governing board that is ultimately responsible for the success of the project. This will mandate addressing assimilation, and its sub tasks, in its entirety, and should not allow diminishing its role in implementation. No initiatives will be required, just thorough project management and frequent budget review. Changes required will be in relation to improved assimilation processes by greater attention to detail and user involvement. Users will be given opportunity to provide expertise much earlier in the process than what is traditionally allowed, and subject matter experts as well, and both will remain involved throughout assimilation, implementation and production.

RECOMMENDATION 2: THE IMPORTANCE OF AND COST OF ASSIMILATION SHOULD NOT BE UNDER ESTIMATED AND MUST BE PROPERLY BUDGETED

Costs for the project will include the assimilation process and will not be separately funded. The resources, facilities, equipment, hardware and software, etc., will be within the umbrella of the total project cost and not separately stated for assimilation or other steps in the process. The cost of staff and travel will be the largest impact of the assimilation phase of the project but expenditures will be necessary if there is to be success and attempting to short change this aspect of the project will have the same result as in other such projects where the importance of assimilation was overlooked. Success was very limited and the overall project suffered.

CONCLUSION 3: LESSONS LEARNED FROM THE PROJECT ARE CRITICAL TO DOCUMENT FOR FUTURE PROJECTS AND THEIR MANAGERS

The lessons learned from the assimilation phase of this new CMS project have been documented as part of the project archives. Those that are specific to assimilation and subsequently implementation outlined below:

RECOMMENDATION 3: INVOLVE COURT COMMUNITY EARLY AND KEEP THEM INVOLVED THROUGHOUT THE PROCESS AND TO THE END.

The most significant lesson to be learned from an automation project of this magnitude is that the court user community must be involved early and remain engaged for the life of the project (a familiar tune from the literature review). Indeed, in the Arizona Case Management System Implementation Project the court users became part of the process even before the determination to purchase a system was finalized. The court users were representative of all levels of the court structure from the counter clerk to the Presiding Judge. Their participation enabled the project managers to move through the ebb and flow of the project with almost constant positive support.

RECOMMENDATION 4: PARTICIPATING DEPARTMENTS MUST STAY FOCUSED ON THE REAL REASON FOR THE PROJECT

A lesson that came hard to learn was how to keep the participating departments focused on the 'real' reason the project is in existence. These departments are in the AOC organization and required their managers to contribute resources, as needed, to meet the project tasks. However, too often these managers became too territorial about their staff and at times seemed determined to undermine the project. For example, just when the project would believe was supported; the other manager would pull back the resource for another assignment. Had the AOC management been more decisive early on the in the structure for these support groups, this tug of war could have largely been avoided.

RECOMMENDATION 5: DO NOT OVERLOOK STAFF MORALE

Additionally, the project managers now understand the benefit in exceptional effort expended in the maintenance of staff morale. It was decided early in the project

that whenever possible the project managers would provide compensation time for staff to get relief from the rigors of the project. This practice was utilized frequently in the early days of the project when it was strategic to do so. However, during pilot courts and implementation it was not as feasible and yet staff remembered the actions of the program managers and were much more accepting of long days and occasional weekends to meet tasks. Investment in staff when times are good makes for return when times are not so good. This is true for other sprit de corps endeavors such as celebration lunches and the occasional staff relaxation therapy sessions known as birthday / holiday gatherings. At the beginning, the project managers thought this might be a good strategy to mitigate burn out, but now they know it is good strategy.

RECOMMENDATION 6: POSITIVE STAFF MORALE SPILLS OVER ON THE COURT PERSONNEL

This staff morale emphasis proved to be a vital energizer for the court personnel that were assigned to the project. Each general jurisdiction court entity was given opportunity to send representatives to GAP, JAD and review sessions. Most all responded with dedicated one or more to the effort, but particularly the pilot courts sent a significant number of staff and had them engaged for a long period of time. Because the project staff was rested and in good spirits they were able to manage the court users even after those users were tiring from the commitment. The project managers learned a valuable lesson in assimilation when they realized that the correct mix of personnel from the courts not only provided the right sets of eyes on the new system (for enhancements, etc.), but it also allowed for the users who were physically present to spread the word to those left back home and do so positively. With the project staff and managers portraying all of the aspects of the project and the new system with an upbeat and

positive attitude, the court grapevine caused more smiles than frowns. Consequently, when the project managers had to ask for further participation the courts complied willingly with the only downside in their minds was that their work back at the office would not get done.

CONCLUSION 4: SEVERAL MINOR LESSONS LEARNED CAN CONTRIBUTE TO A SINGLE, SOLID DIRECTION FOR FUTURE PROJECTS

In order to capture even the deepest details of the project, and ensure that general lessons learned can be applied, experience concerning meetings, manager's popularity and attitude of staff need to be recognized. Additionally reality must be seen for what it is; assimilation will always need to be stressed by the project managers, and gaining a thorough knowledge of previous projects successes and failures will assist with getting assimilation recognized for its importance. With this approach, there is better direction for future projects.

RECOMMENDATION 7: KEEP MANDATORY MEETINGS TO A MINIMUM

Keep the number of status/update meetings to the greatest minimum possible. Management and interested user groups will push for as many and as frequent meetings as they think they can get the project managers to attend. Most of these will be repetitive and unnecessary so the PM's have to push back.

RECOMMENDATION 8: DON'T BE AFRAID TO BE UNPOPULAR

Don't be afraid to be unpopular to the hierarchy in the agency for whom the project is responsible. Sometimes the best measure of how well you are doing in managing your project is how many other managers don't like you at the moment. This should not be confused with not respecting you because your actions in support of the

project should always gain the respect of your peers and superiors. They just may not like how you are pushing them at the moment.

RECOMMENDATION 9: WHEN YOU'RE SMILING THE WHOLE COURT SMILES WITH YOU

Always put a positive face on the project and especially on the assimilation phase. Make sure people know that if you weren't in from of them giving a marketing presentation today, they wouldn't be prepared for implementation tomorrow.

RECOMMENDATION 10: SIGNIFICANT ASSIMILATION = SUCCESSFUL PROJECT

The assimilation phase of any project will never get ALL the attention it should, but there is a direct relationship between the amount of time and resources devoted to assimilation and the overall success of the automation project.

RECOMMENDATION 11: UNDERSTAND THE HISTORY OF PREVIOUS PROJECTS

Time doesn't heal all wounds! Therefore, smart PM's will ensure they understand the history of automation projects that have gone before theirs such that they can prepare an assimilation plan that will only repeat the positive aspects of that history.

It is certain that there are a myriad of other small lessons that came out of completing a project in automation with assimilation studies providing many of those little tidbits of knowledge. Suffice it to be said that project managers will be wise to capture as many as seems practical because they know very well that they will one day be engaged in another project and the lessons of the past adventure can make the future journey much less hazardous.

CONCLUSION 5: SUCCESS OF ASSIMILATION IS PROVEN OVER TIME

Although this paper and the impact its findings has on the current deployment of a new CMS is anticipated to make significant strides of improvement in the process of preparing courts for the advent of a new case management system, there will always be opportunity for improvement. At the least, a follow-up survey and interviews of the affected key personnel will be necessary after all courts are implemented and have been utilizing the CMS in the production phase. Logical process would mandate that sufficient time had passed to fully understand the impact of assimilation on their courts successful (or unsuccessful) implementation. Certainly there is immediate positive impact from successful assimilation, but the true test of success will be the long term impacts on court business. If the court staff, the central agency staff and / or the business / technical maintenance staff is willing to state on paper that they are satisfied with the CMS years after implementation, and that they can still remember some task within the assimilation phase which made their “life easier”, then the statement of “successful” is supported. The survey of the court staff within the state of Arizona was indicative of the long memory that they possess and especially concerning the negative aspects of the project. This would also make for an opportunity to visit courts and observe the general attitude toward the CMS in respect to the staff’s day-to-day use of its features and functionality.

Similarly, other state entities that begin to move toward a statewide case management system will be interested in the results of the assimilation phase in Arizona. The Arizona Project was motivated by the results of states that attempted statewide CMS (Kansas, Missouri, Minnesota, etc.) and experienced various levels of success. Many of the publications utilized and referenced in the literature review are based on the

experiences in those states. The author of this paper anticipates that the Arizona Project will become yet another source of reference for authors who want to discuss the subject. In fact, it is anticipated that the results of our experience in assimilation will become a model for other projects.

Appendices

Appendix A: Other States Surveys

Appendix B: Arizona Superior Court Survey

Appendix C: Graphic Illustration of the Survey Results

Appendix D: Project Schedule for the Arizona CMS Implementation

APPENDIX A

Name of Your State: _____

Other States Survey

Please mark the box beside the words or phrases that apply to the status and characteristics of the statewide automation effort in your state:

- Currently in planning process for statewide trial court automation system
- Currently have statewide trial court automation system

Check all boxes that apply to your state:

- Civil
- Criminal
- Felony
- Probate
- Family Law
- Traffic
- Felony

Comments: _____

Survey Contact

Name of person completing survey: _____

Title/Position: _____

Address: _____

Phone: _____ Fax: _____

Please mark the box beside the words or phrases that apply to the status and characteristics of the statewide automation effort in your state.

Communications

1. Were the project goals clearly defined at the beginning of the project?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
2. Were project goals clearly communicated through the organization?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
3. Was evaluation and feedback information communicated effectively to project management?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
4. Were there problems caused by insufficient user input?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
5. To what extent were users kept well informed of design decisions and rationale?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
6. Would you have provided for a more thorough and detailed assimilation plan to ensure buy-in from the courts that would receive the new CMS?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree

Standardization

1. To what extent did the courts to be automated operate uniformly with respect to court rules and recordkeeping procedures?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
2. Was the new system designed to conform to existing data standards?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
3. Was there any implementation problems related to non-standard procedures among the courts?	

Project Management

1. Were there problems caused by insufficient leadership from within the judicial organization?	1-----2-----3 severe some none
2. What organization or office provided the initial mandate for the statewide automation project?	
3. Were there major problems with the project related to funding?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
4. Was the project initially broken into a series of major phases?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
5. Was time schedules built into each phase and task?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
6. Were there any problems with insufficient authority at the project management level or insufficient backing of the project management decisions from high in the judicial organization?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
7. Was sufficient time for project management activities initially anticipated and budgeted?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
8. Could more personnel have been assigned to the project management?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree

Project Objectives & Performance

1. Was funding adequate to meet project goals and objectives?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
2. Was the project broken into major phases with objectives, costs, and time frames identified?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
3. Was there flexibility for refining (or re-defining) goals and objectives as the project progressed?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
4. Was there any schedule slippage during the design and development phases from the original time frames projected during the planning phase?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
5. Was there any schedule slippage during the implementation phase from the time frames originally projected?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
6. Would you give more time and resources to the marketing of the new case management system?	1-----2-----3-----4 Strongly Agree Agree Disagree Strongly Disagree
7. Do you believe you could have expended more effort in the endeavor to obtain more court participation?	

Court Assimilation & Planning

1. Did the initial mandate or incentive for statewide automation come from within the judicial branch or from outside?	1-----2-----3 inside joint outside
2. Was the judicial organization united in its attempt to automate, or was there resistance, division or lack of support for the project?	1-----2-----3 united divided no support
3. Were there problems with trial courts resisting the judicial branch leadership?	1-----2-----3 severe some none
4. Were there any problems with prioritizing the implementation among the courts?	1-----2-----3-----4 Strongly Agree Disagree Strongly Disagree
5. How involved were users in system design and development efforts?	1-----2-----3-----4 Strongly Agree Disagree Strongly Disagree
6. Were there problems caused by too much user influence or control?	1-----2-----3-----4 Strongly Agree Disagree Strongly Disagree
7. Were there problems caused by inability of user groups to adequately represent the interests of all sites?	1-----2-----3-----4 Strongly Agree Disagree Strongly Disagree
8. Would you have utilized more of the court staff in training and implementation processes by getting them involved earlier in the new CMS design and modification phase?	1-----2-----3-----4 Strongly Agree Disagree Strongly Disagree
9. If you had to do it all over again, what would you have done differently?	

Question	Survey Questions	Average Scores	Survey - 1-Strongly Agree, 2-Agree, 3-Disagree, 4-Strongly Disagree		
			Respondent 1	Respondent 2	Respondent 3
Communications					
1	Were the project goals clearly defined at the beginning of the project?	1.7	2	1	2
2	Were project goals clearly communicated through the organization?	2.0	2	2	2
3	Was evaluation and feedback information communicated effectively to project management?	2.0	2	2	2
4	Were there problems caused by insufficient user input?	2.7	3	2	3
5	To what extent were users kept well informed of design decisions and rationale?	2.0	2	2	2
6	Would you have provided for a more thorough and detailed assimilation plan to ensure buy-in from the courts that would receive the new CMS?	2.2	2	2.5	2
Standardization					
1	To what extent did the courts to be automated operate uniformly with respect to court rules and recordkeeping procedures?	2.2	2	2.5	2
2	Was the new system designed to conform to existing data standards?	2.0	2	2	2
3	Was there any implementation problems related to non-standard	2.0	2	2	2

	procedures among the courts?				
Project Mangement					
1	Were there problems caused by insufficient leadership from within the judicial organization?		none	none	none
2	What organization or office provided the initial mandate for the statewide automation project?		AOC	MO Bar, MO Supreme Crt & Legislation	AOC
3	Were there major problems with the project related to funding?	2.7	3	2	3
4	Was the project initially broken into a series of major phases?	2.0	2	2	2
5	Were time schedules built into each phase and task?	2.0	2	2	2
6	Were there any problems with insufficient authority at the project management level or insufficient backing of the project management decisions from high in the judicial organization?	3.0	3	3	3
7	Was sufficient time for project management activities initially anticipated and budgeted?	2.8	3	2.5	3
8	Could more personnel have been assigned to the project management?	2.8	3	2.5	3
Project Objectives & Performance					
1	Was funding adequate to meet project goals and	2.2	2	2.5	2

	objectives?				
2	Was the project broken into major phases with objectives, costs, and time frames identified?	2.0	2	2	2
3	Was there flexibility for refining (or re-defining) goals and objectives as the project progressed?	2.0	2	2	2
4	Was there any schedule slippage during the design and development phases from the original time frames projected during the planning phase?	2.0	2	2	2
5	Was there any schedule slippage during the implementation phase from the time frames originally projected?	2.0	2	2	2
6	Would you give more time and resources to the marketing of the new case management system?	3.0	3	3	3
7	Do you believe you could have expended more effort in the endeavor to obtain more court participation?	2.7	3	2	3
Court Assimilation & Planning					
1	Did the initial mandate or incentive for statewide automation come from within the judicial branch or from outside?		inside	joint	inside
2	Was the judicial organization united in its attempt to automate, or		united	divided	united

	was there resistance, division or lack of support for the project?				
3	Were there problems with trial courts resisting the judicial branch leadership?		some	some	some
4	Were there any problems with prioritizing the implementation among the courts?	2.0	2	2	2
5	How involved were users in system design and development efforts?	2.0	2	2	2
6	Were there problems caused by too much user influence or control?	2.7	3	2	3
7	Were there problems caused by inability of user groups to adequately represent the interests of all sites?	2.3	3	1	3
8	Would you have utilize more of the court staff in training and implementation processes by getting them involved earlier in the new CMS design and modification phase?	2.0	2	2	2
9	If you had to do it all over again, what would you have done differently		more training, additional refresh for courts after 90, 180 days	some parts, but overall we did the best we could with what was available and we adjusted where necessary	
	Overall Index Score:	60.8			

APPENDIX B

Name of Your Court: _____

Arizona Superior Court Survey

Check boxes that apply to your current position/place of work:

- Court Administration
- Clerk of Court
- Administrative Office of the Courts

Check all boxes that apply to your court:

- Civil
- Criminal
- Misdemeanor
- Probate
- Family Law
- Traffic
- Felony
- Probation – Juvenile and Adult

Comments: _____

Survey Contact

Name of person completing survey: _____

Title/Position: _____

Address: _____

Phone: _____ Fax: _____

Please mark the box beside the words or phrases that apply to the status and characteristics of the statewide automation effort in your court. Please consider the survey for the implementation of AZTEC.

Communications

7. I understand the source of the mandate to implement a new case management system.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
8. I was given options for implementation.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
9. Communications was clear and specific to understand expectations.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
10. The frequency of communications was adequate.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
11. Communication was generally an issue through out the process of implementations.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
12. Communication must be improved if the future case management system implementation is to be successful.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree

Standardization

4. Data standards were in place for the court to become more uniform to court business process.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
5. It is important for the COT to provide direction for the courts to standardize data and processes.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree

Project Management

1. In previous implementations of AZTEC and subsequent releases, I knew who the project management team consisted of.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
2. I received sufficient vision of the project from the project management team.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
3. I believe that there was strong leadership responsible for the AZTEC project management team.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
4. Throughout the project, I was able to contact the responsible project manager (or other designee) easily.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
5. The project management team responded to my requests for assistance in a satisfactory time frame.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
6. In my opinion, most of the problems with the implementation of AZTEC (or subsequent deployments for upgrades) were due to a lack of leadership.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
7. I was aware of the overall project schedule for court implementations as well as my own court's schedule.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
8. Available resources were realistically allocated to the project by the project manager(s).	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree

Project Objectives & Performance

8. I was made aware of the project objectives significantly in advance of my court's participation.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
9. I was given an opportunity to provide input or suggest improvements to the development of the project objectives.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
10. I feel the project management team kept the objectives of the project up to date as it progressed.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
11. The project kept on track and if there was a schedule delay I was informed expeditiously?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
12. I feel there was flexibility in the schedule such that the goals and objectives could be refined or redefined as the project progressed.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
13. I believe the project management team goals or objectives were unrealistic or inappropriate as the project progressed.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
14. There were sufficient goals or objectives that proved to be effective motivators for the courts to embrace change.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree

Court Assimilation & Planning

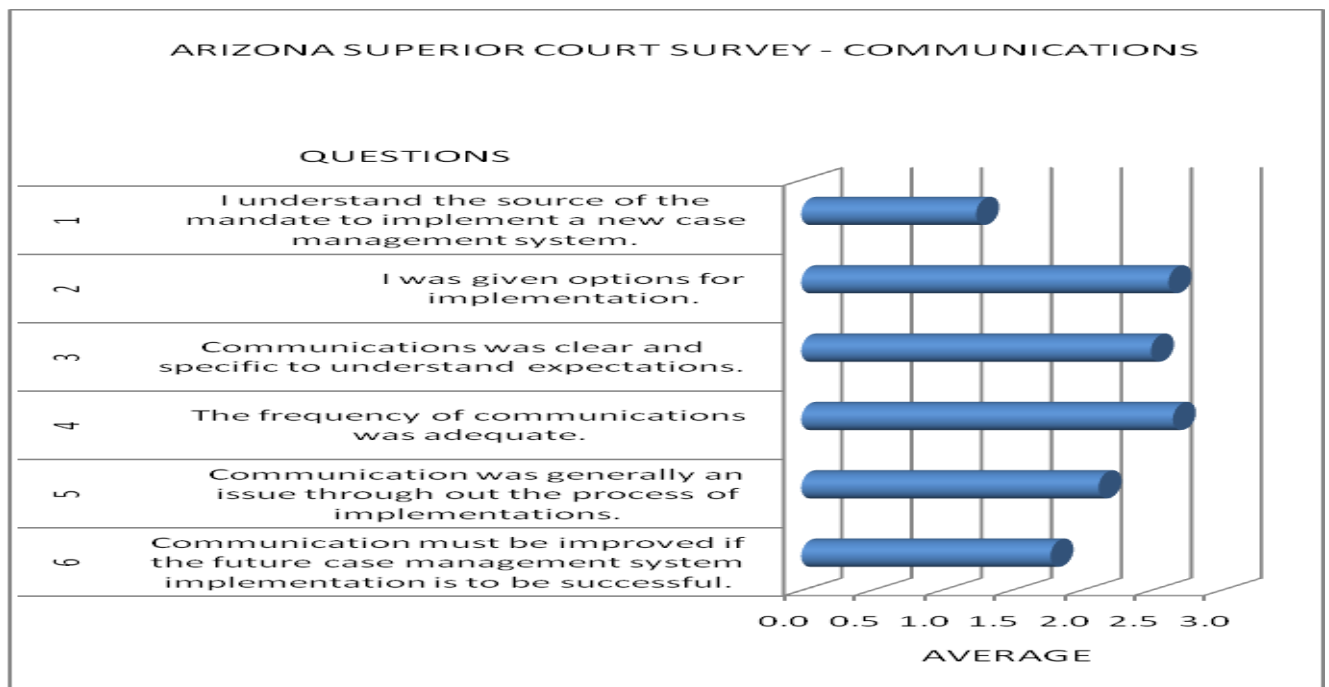
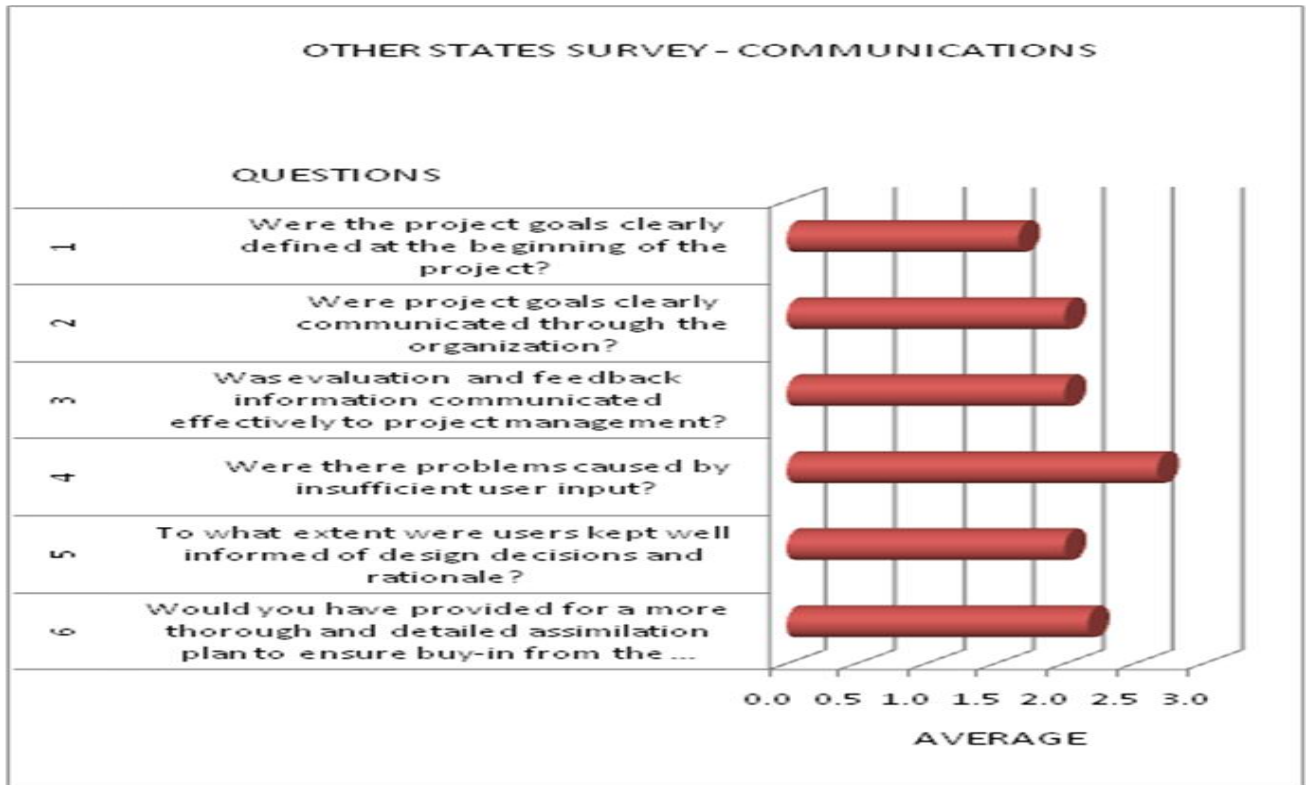
10. There was a well publicized campaign to advise the courts of a new software or case management system.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
11. I was made aware of the new project and how my court fit into the plan.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
12. All levels of court staff were given an opportunity to attend briefing sessions well in advance of implementation dates?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
13. The project managers communicate the time frames associated with preparing for the implementation schedule.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
14. Court management facilitated adequate flow of information.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
15. I was satisfied with the amount of general information about the project that was made available to me?	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
16. I had access to web-sites, newsletters or other generalized information resources during project.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
17. I was mostly informed and kept abreast of the project and its progress.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
18. I feel that thorough and frequent information exchange is crucial for the court to complete implementation successfully.	1-----2-----3-----4
	Strongly Agree Agree Disagree Strongly Disagree
19. With Arizona embarking on a new CMS, what suggestions would you give to make this a successful implementation?	

Question	Survey Questions	Average Scores	Survey - 1-Strongly Agree, 2-Agree, 3-Disagree, 4-Strongly Disagree															
			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Communications																		
1	I understand the source of the mandate to implement a new case management system.	1.3	1.0	1.0	1.0	2.0	1.0	1.0	1.0	2.0		2.0	2.0	1.0	1.0	1.0	1.0	2.0
2	I was given options for implementation.	2.6	2.0	2.0	3.0	3.0	2.0	2.0	2.0	4.0	4.0	2.0	4.0	2.0	3.0	2.0	2.0	3.0
3	Communications was clear and specific to understand expectations.	2.5	2.0	2.0	2.0	3.0	3.0	3.0	2.0	4.0	2.5	2.0	4.0	2.0	2.0	2.5	2.0	2.0
4	The frequency of communications was adequate.	2.7	2.5	3.0	2.0	3.0	3.0	3.0	2.0	4.0	2.5	3.0	4.0	2.0	2.0	2.5	2.0	2.0
5	Communication was generally an issue through out the process of implementations.	2.1	3.0	2.0	2.0	1.0	2.0	2.0	3.0	1.0	2.0	2.0	1.0	3.0	2.0	2.0	3.0	3.0
6	Communication must be improved if the future case management system implementation is to be successful.	1.8	2.5	2.0	2.0	1.0	2.0	2.0	2.0	1.0	1.0	1.0	1.0	2.0	2.0	1.0	3.0	3.0
Standardization																		
1	Data standards were in place for the court to become more uniform to court business process.	2.7	2.5	3.0	2.0	2.0	3.0	3.0	1.0	3.0	4.0	4.0	3.0	1.0	2.0	3.0	3.0	3.0
2	It is important for the COT to provide direction for the courts to standardize data and processes.	1.8	2.5	2.0	1.0	2.0	2.0	2.0	2.0	3.0	2.0	1.0	2.0	2.0	1.0	1.0	2.0	2.0
Project Mangement																		
1	In previous implementations of AZTEC and subsequent releases, I knew who the project management team consisted of.	2.8	2.5	2.0	2.0	4.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	2.0	3.0	3.0	3.0
2	I received sufficient vision of the project from the project management team.	2.8	2.5	2.0	2.0	4.0	3.0	3.0	3.0	3.0	2.5	3.0	3.0	3.0	2.0	2.5	3.0	3.0
3	I believe that there was strong leadership responsible for the AZTEC project management team.	2.7	2.0	2.0	2.0	3.0	3.0	3.0	3.0	3.0	2.5	3.0	3.0	3.0	2.0	2.5	3.0	3.0

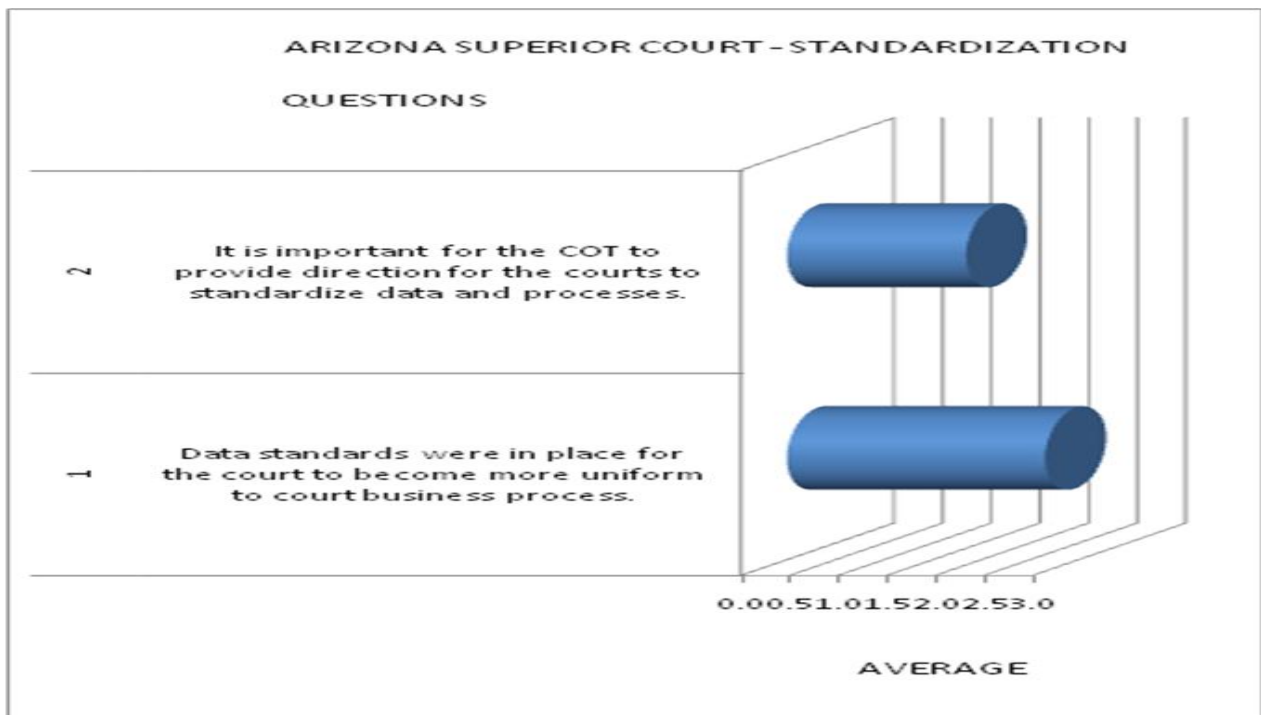
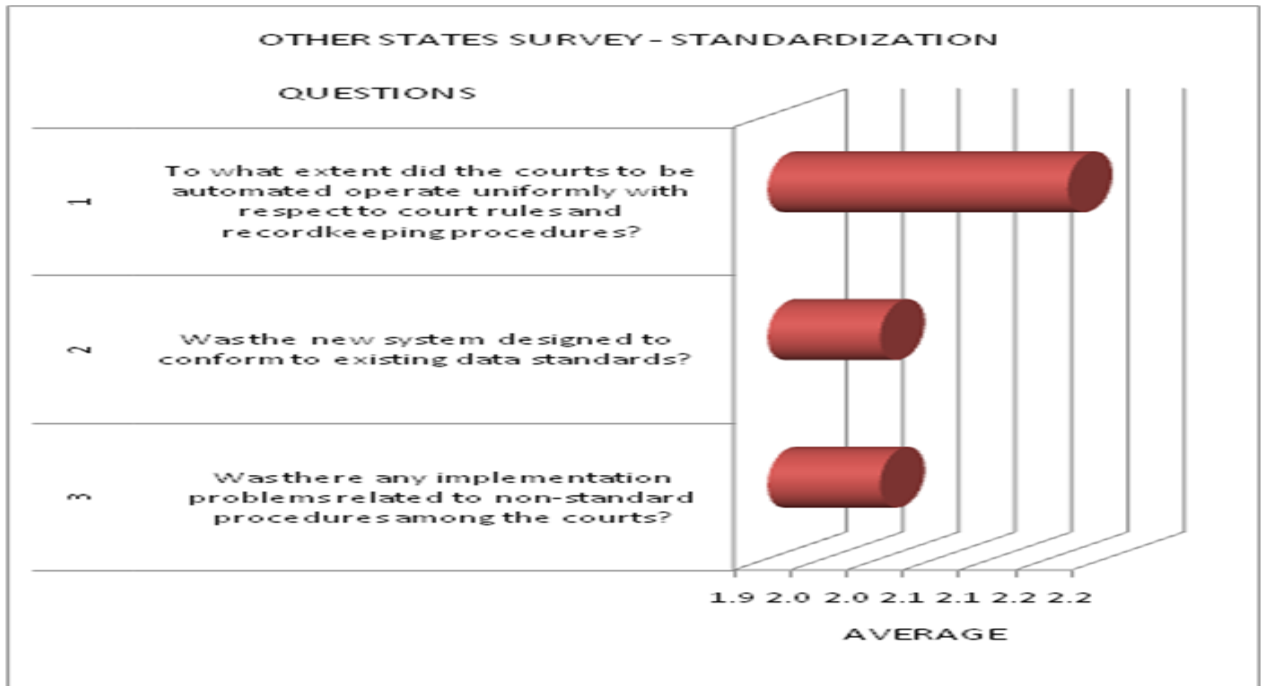
4	Throughout the project, I was able to contact the responsible project manager (or other designee) easily.	2.6	3.0	2.5	2.0	3.0	3.0	3.0	2.0	3.0	2.5	3.0	3.0	2.0	2.0	2.0	2.0	3.0	
5	The project management team responded to my requests for assistance in a satisfactory time frame.	2.8	2.0	2.5	2.5	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	2.5	2.5	3.0	3.0	
6	In my opinion, most of the problems with the implementation of AZTEC (or subsequent deployments for upgrades) were due to a lack of leadership.	2.6	3.0	3.0	3.0	3.0	2.0	2.0	2.0	2.5	2.5	3.0	2.5	2.0	2.5	2.5	3.0	3.0	
7	I was aware of the overall project schedule for court implementations as well as my own court's schedule.	2.6	2.5	3.0	3.0	4.0	3.0	3.0	2.0	3.0	2.0	3.0	2.0	2.0	2.0	2.0	2.0	3.0	
8	Available resources were realistically allocated to the project by the project manager(s).	2.9	2.5	3.0	2.5	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	2.0	3.0
Project Objectives & Performance																			
1	I was made aware of the project objectives significantly in advance of my court's participation.	2.6	2.5	2.0	2.0	4.0	3.0	3.0	2.0	3.0	2.5	3.0	2.5	2.0	2.5	2.0	2.0	3.0	
2	I was given an opportunity to provide input or suggest improvements to the development of the project objectives.	2.9	3.5	2.0	2.0	3.0	2.0	2.0	3.0	3.0	4.0	3.0	4.0	3.0	4.0	2.5	2.0	3.0	
3	I feel the project management team kept the objectives of the project up to date as it progressed.	2.6	2.0	2.0	2.0	3.0	3.0	3.0	3.0	3.0	2.5	3.0	2.5	3.0	2.5	2.5	2.0	3.0	
4	The project kept on track and if there was a schedule delay I was informed expeditiously?	2.8	3.0	3.0	2.5	3.0	3.0	3.0	3.0	4.0	2.5	3.0	2.5	3.0	2.5	2.0	2.0	3.0	
5	I feel there was flexibility in the schedule such that the goals and objectives could be refined or redefined as the project progressed.	2.7	2.0	3.0	2.5	3.0	3.0	3.0	3.0	4.0	2.5	2.0	2.5	3.0	2.5	2.0	2.0	3.0	

6	I believe the project management team goals or objectives were unrealistic or inappropriate as the project progressed.	2.4	2.5	2.0	2.5	2.0	2.0	2.0	2.0	3.0	1.0	2.5	2.0	2.5	3.0	2.5	3.0	3.0	3.0
7	There were sufficient goals or objectives that proved to be effective motivators for the courts to embrace change.	2.4	2.0	3.0	2.0	2.0	2.0	2.0	2.0	3.0	3.0	2.0	3.0	2.0	3.0	2.0	3.0	1.0	3.0
Court Assimilation & Planning																			
1	There was a well publicized campaign to advise the courts of a new software or case management system.	2.5	3.5	2.0	2.0	3.0	2.0	2.0	2.0	2.5	2.0	3.0	2.5	2.0	2.5	3.0	3.0	3.0	
2	I was made aware of the new project and how my court fit into the plan.	2.3	2.5	2.0	2.0	4.0	2.0	2.0	2.0	2.0	2.0	3.0	2.0	2.0	2.0	2.5	2.0	2.0	
3	All levels of court staff were given an opportunity to attend briefing sessions well in advance of implementation dates?	2.8	3.5	3.0	2.5	3.0	2.0	2.0	3.0	3.0	3.0	2.0	3.0	3.0	3.0	3.0	3.0	3.0	
4	The project managers communicate the time frames associated with preparing for the implementation schedule.	2.4	2.0	3.0	2.0	2.0	3.0	3.0	3.0	2.0	2.0	3.0	2.0	3.0	2.0	2.0	2.0	2.0	3.0
5	Court management facilitated adequate flow of information.	2.4	3.5	3.0	2.0	3.0	3.0	3.0	2.0	2.0	2.5	2.0	2.0	2.0	2.0	2.0	2.0	2.0	3.0
6	I was satisfied with the amount of general information about the project that was made available to me?	2.7	2.0	3.0	2.0	3.0	3.0	3.0	3.0	3.0	2.5	2.0	3.0	3.0	3.0	3.0	3.0	2.0	3.0
7	I had access to web-sites, newsletters or other generalized information resources during project.	2.6	2.5	2.0	2.5	3.0	2.0	2.0	3.0	3.0	2.5	3.0	3.0	3.0	3.0	2.5	2.0	3.0	
8	I was mostly informed and kept abreast of the project and its progress.	2.3	2.5	3.0	2.0	3.0	2.0	2.0	2.0	2.0	2.0	3.0	2.0	2.0	2.0	2.0	2.0	2.0	3.0
9	I feel that thorough and frequent information exchange is crucial for the court to complete implementation successfully.	1.0	1.5	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0	1.0
Overall Index Score:		78.6																	

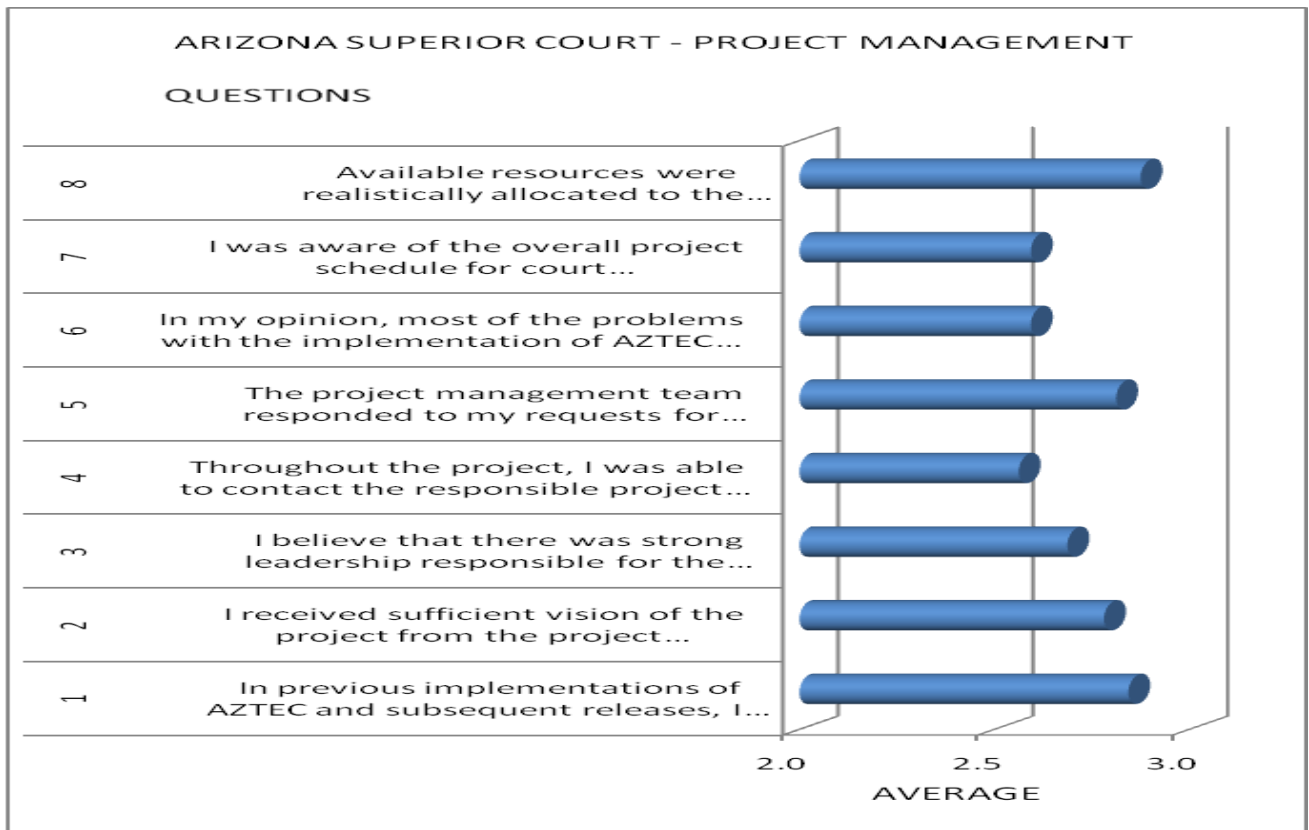
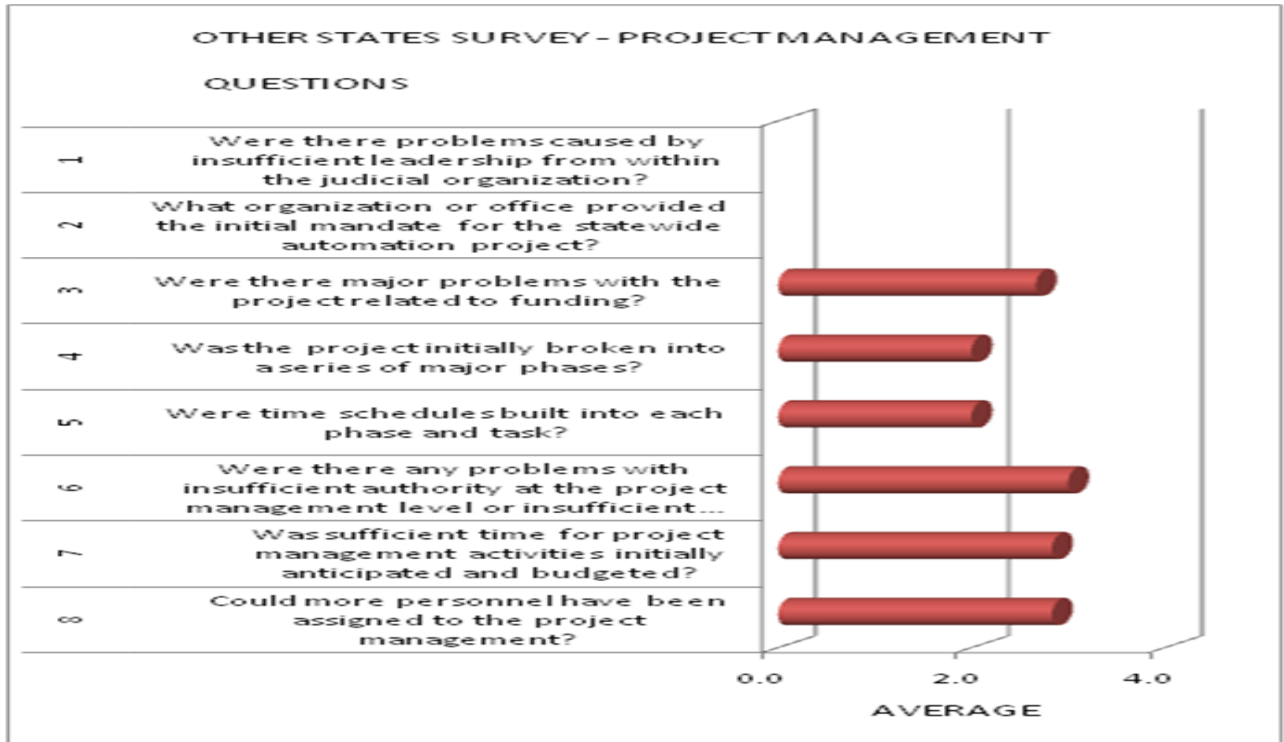
Appendix C:



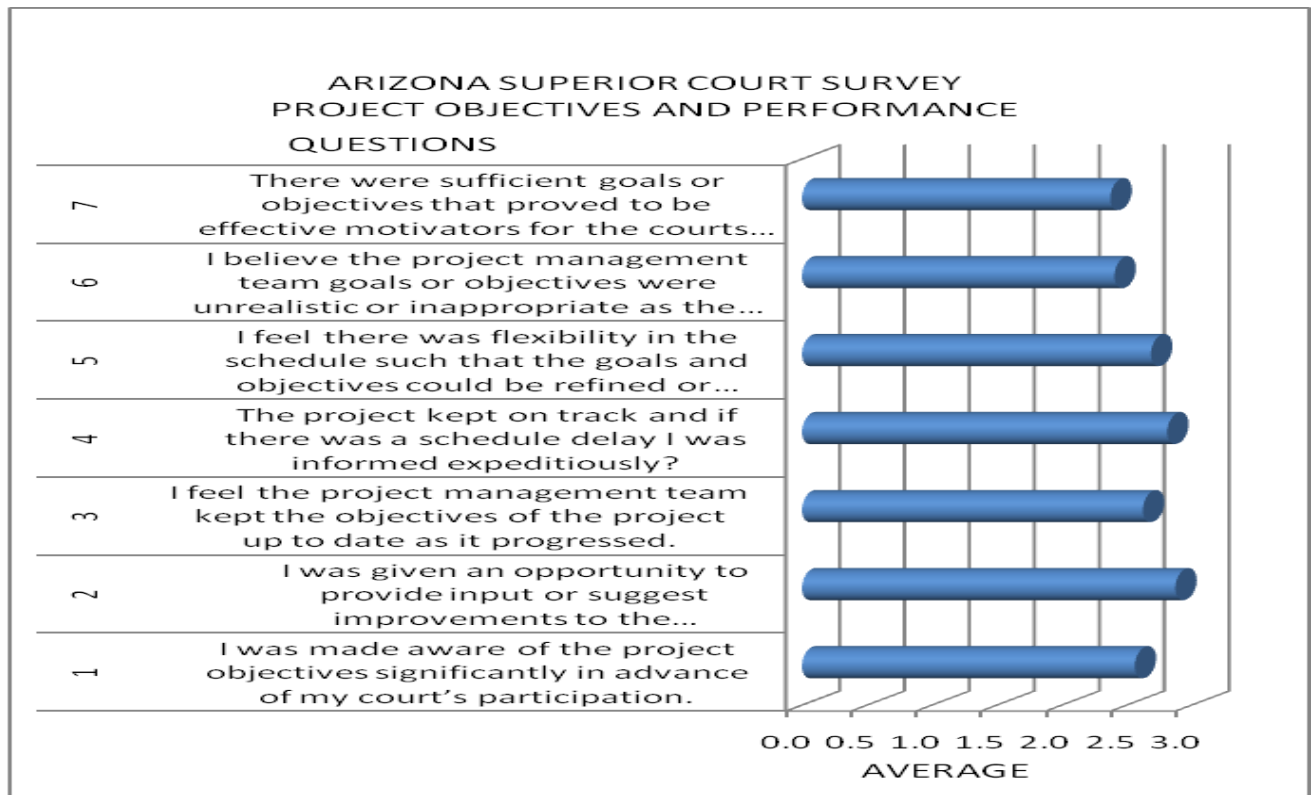
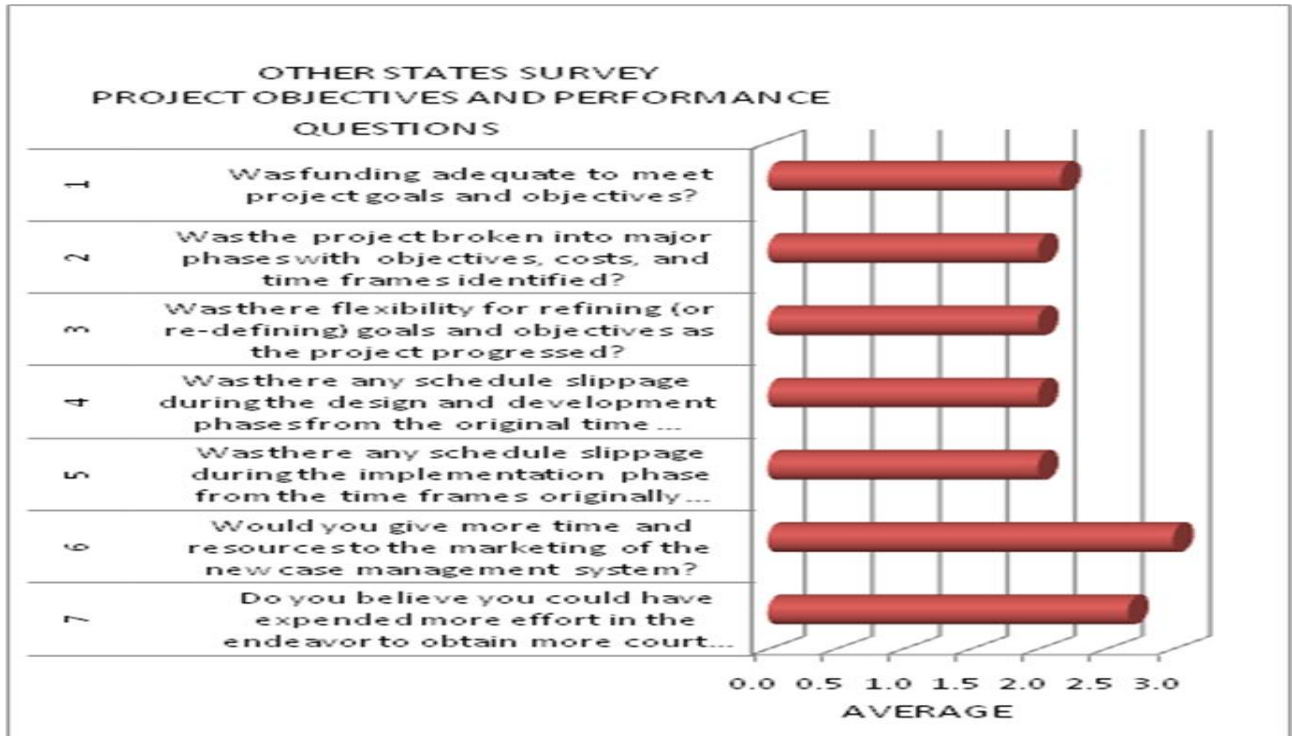
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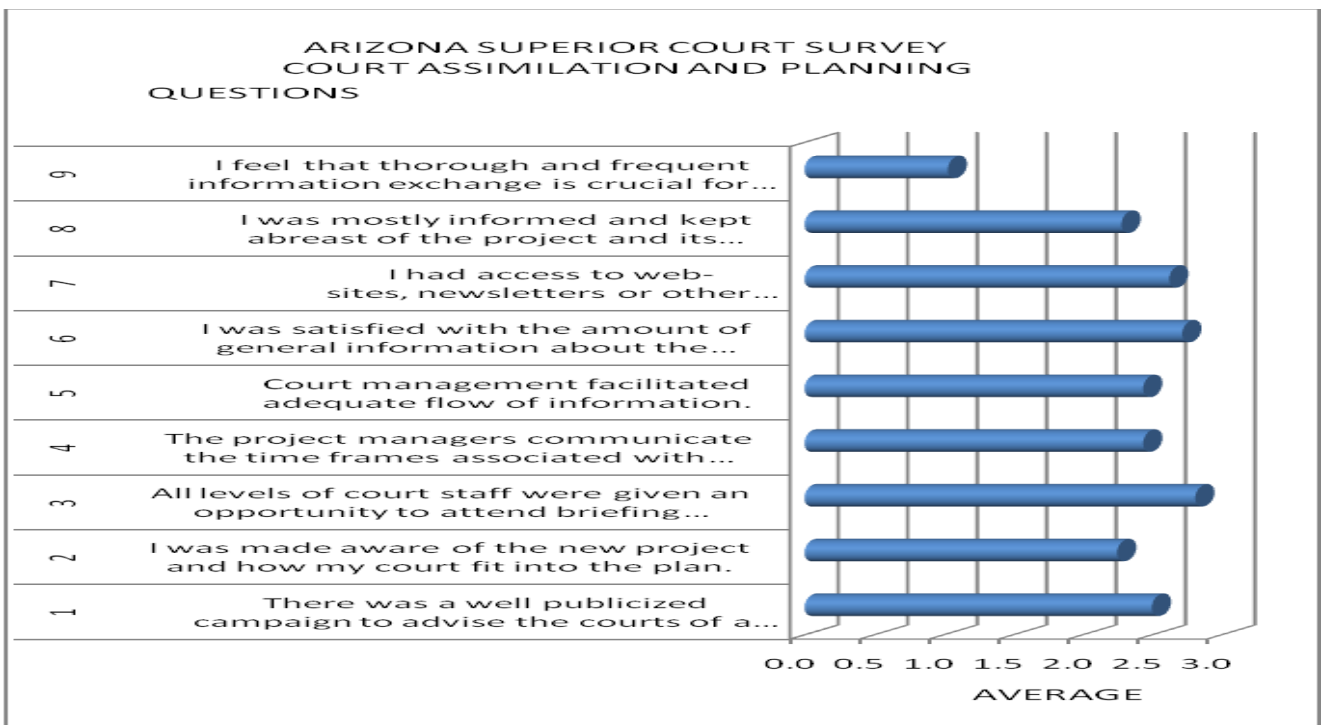
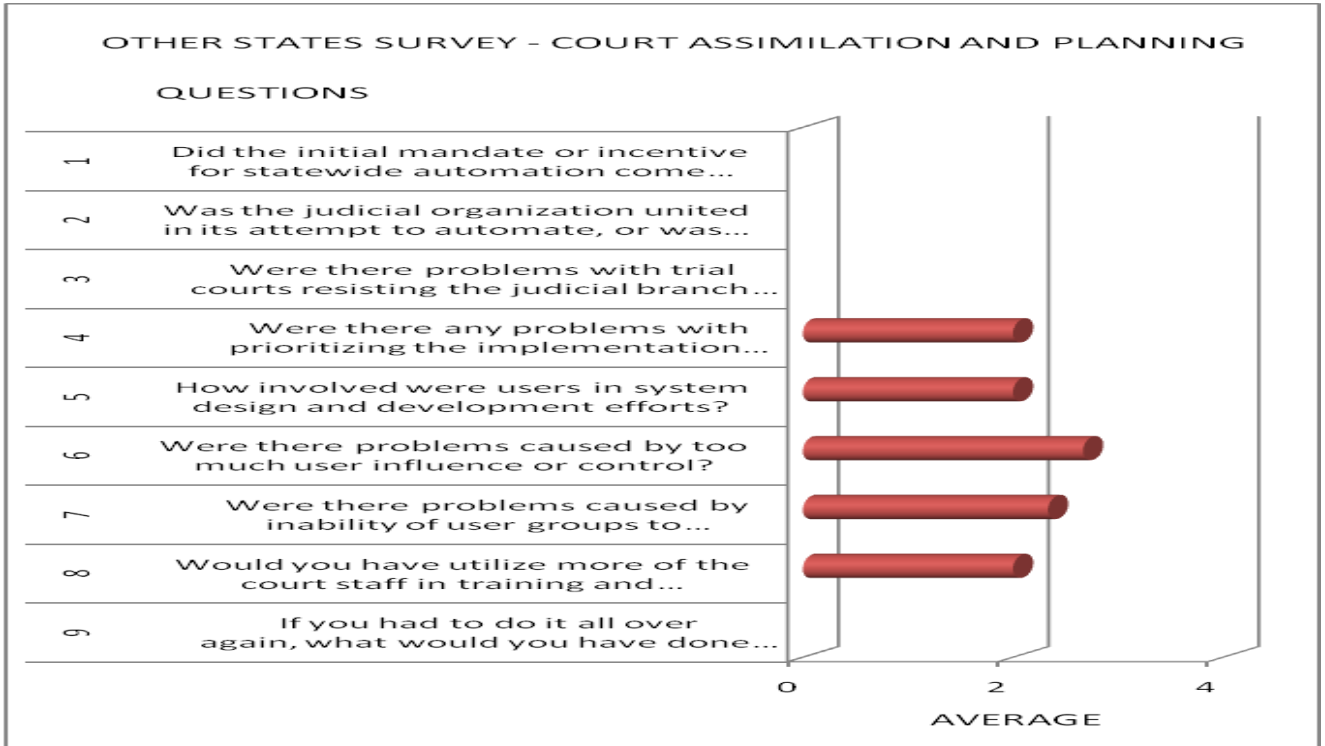
Appendix C:




Appendix C:



Appendix C:



APPENDIX D

AmCad		Arizona Administrative Office of the Courts AZICMS Case Management Systems					
ID	% Complete	Task Name	Duration	Start	Finish	Predecessor	Resource Names
1	39%	Phase 1 - Pilot County Implementation	283 days	Mon 7/2/07	Mon 8/18/08		
2	25%	Executive Meetings	153 days	Tue 10/16/07	Wed 5/28/08		
3	100%	Executive Briefing	1 day	Tue 10/16/07	Tue 10/16/07		AmCad/AOC
4	0%	Executive Briefing	1 day	Mon 1/7/08	Mon 1/7/08		AmCad/AOC
5	0%	Executive Briefing	1 day	Tue 4/8/08	Tue 4/8/08		AmCad/AOC
6	0%	Executive Briefing	1 day	Wed 5/28/08	Wed 5/28/08		AmCad/AOC
7	0%	Environments	123 days	Fri 10/19/07	Mon 4/21/08		
8	100%	Deliver Development Environment	0 days	Fri 10/19/07	Fri 10/19/07		AOC
9	100%	Deliver Test/Training Environment	0 days	Fri 1/18/08	Fri 1/18/08		AOC
10	0%	Load AZICMS Application on Test/Training Environment for Review	0 days	Fri 2/29/08	Fri 2/29/08	9	
11	0%	Deliver Production Environment	0 days	Mon 4/7/08	Mon 4/7/08		AOC
12	0%	Load AZICMS Application on Production Environment	0 days	Mon 4/21/08	Mon 4/21/08	11	
13	0%	AOC Purchase of Servers	0 days	Mon 12/3/07	Mon 12/3/07		AOC
14	100%	Phase 1: Project Planning & Commencement	78 days	Mon 7/2/07	Fri 10/19/07		
15	100%	Attend Contract Development Meeting	2 days	Mon 7/2/07	Tue 7/3/07		AmCad
16	100%	Attend Meeds Minule Entry Demo	2 days	Tue 7/24/07	Wed 7/25/07		AmCad
17	100%	Develop Contract	32 days	Mon 7/2/07	Wed 8/15/07		
18	100%	Negotiations	28 days	Mon 7/2/07	Wed 8/8/07		AmCad/AOC
19	100%	Execute Contract	0 days	Wed 8/8/07	Wed 8/8/07	18	AmCad/AOC
20	100%	Deliver Certificate of Insurance	0 days	Wed 8/15/07	Wed 8/15/07	19	AmCad
21	100%	Identify Stakeholders & Subject Matter Experts	49 days	Mon 7/2/07	Fri 9/7/07		AmCad/AOC
22	100%	Define Resource Allocation & Project Roles	49 days	Mon 7/2/07	Fri 9/7/07		AOC
23	100%	Provide Organizational, Staffing, and Committee Charts	0 days	Fri 9/7/07	Fri 9/7/07	22	AOC
24	100%	Deliver AZTEC Training Guide	0 days	Wed 7/25/07	Wed 7/25/07		AOC
25	100%	Deliver AICMS Source Code	0 days	Fri 8/17/07	Fri 8/17/07		AmCad
26	100%	Reporting Service Decision	0 days	Tue 9/4/07	Tue 9/4/07		AOC
27	100%	Criminal History Checks	45 days	Mon 7/2/07	Fri 8/31/07		AmCad/AOC
28	100%	AZTEC Access	0 days	Wed 9/19/07	Wed 9/19/07		AOC

Project: AZICMS project Plan Date: Tue 1/15/08	<table style="width: 100%; border: none;"> <tr> <td style="width: 25%;">Task</td> <td style="width: 25%;"></td> <td style="width: 25%;">Milestone</td> <td style="width: 25%;"></td> <td style="width: 25%;">External Tasks</td> <td></td> </tr> <tr> <td>Split</td> <td></td> <td>Summary</td> <td></td> <td>External Milestone</td> <td></td> </tr> <tr> <td>Progress</td> <td></td> <td>Project Summary</td> <td></td> <td>Deadline</td> <td></td> </tr> </table>	Task		Milestone		External Tasks		Split		Summary		External Milestone		Progress		Project Summary		Deadline	
Task		Milestone		External Tasks															
Split		Summary		External Milestone															
Progress		Project Summary		Deadline															

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