Quality and Productivity Commission

28th Annual Productivity and Quality Awards Program

"Los Angeles County: Ahead of the Curve"

2014 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12 point font):

NAME OF PROJECT: ACTIVE eCase Document Management AND ARCHIVAL SYSTEM (DMS)

DATE OF IMPLEMENTATION/ADOPTION: APRIL 1, 2011
(Must have been implemented at least one year - on or before June 30, 2013)

PROJECT STATUS: x Ongoing _____ One-time only

HAS YOUR DEPARTMENT PREVIOUSLY SUBMITTED THIS PROJECT? _____ Yes x No

EXECUTIVE SUMMARY: Describe the project in 15 lines or less using Arial 12 point font. Summarize the problem, solution, and benefits of the project in a clear and direct manner.

1 **Problem:** APD is appointed on over 30,000 new cases every year. State Bar rules
2 require APD to keep case files for an indefinite period resulting in ever increasing off-
3 site storage and retrieval costs. APD must access these closed files on a regular basis.
4 APD lawyers also need access to their active case files when away from work. APD
5 needed a system that would: 1) allow it to store closed files and reduce the cost of files
6 stored with its off-site vendor; 2) allow staff to work with active case files from work,
7 courts, or home; 3) receive electronic probations reports; and 4) allow for the speedy
8 scanning of files directly to the system with minimal user interaction.
9 **Solution:** APD created a document management solution that archives closed files;
10 allows staff to create and share active case files; is accessible from anywhere there is
11 internet access; auto-index scanned files and documents receive electronic probation
12 reports; and reduce the time required to process a client file request.
13 **Benefits:** Cost savings/avoidance from fewer stored files; speedy access to active and
14 closed files, ability to receive eProbation reports, reduced scanning costs via in-house
15 scanning, and cut in half the time it takes to deliver a closed file to a client.

(1) ACTUAL/ESTIMATED **ANNUAL** COST AVOIDANCE	(2) ACTUAL/ESTIMATED **ANNUAL** COST SAVINGS	(3) ACTUAL/ESTIMATED **ANNUAL** REVENUE	(1) + (2) + (3) = TOTAL **ANNUAL** ACTUAL/ESTIMATED BENEFIT	SERVICE ENHANCEMENT PROJECT
$ 79,368	**$1798**	**$ 0**	**$ 81,166**	☐

ANNUAL = 12 MONTHS ONLY

SUBMITTING DEPARTMENT NAME AND COMPLETE ADDRESS Alternate Public Defender 320 West Temple St., Room G-35 Los Angeles, CA 90012	**TELEPHONE NUMBER** 213-974-6626
PROGRAM MANAGER'S NAME Jordan Yerian 7-15-14	**TELEPHONE NUMBER** 213-893-2042 **EMAIL** jyerian@apd.lacounty.gov
PRODUCTIVITY MANAGER'S NAME AND SIGNATURE (PLEASE CALL (213) 893-0322 IF YOU DO NOT KNOW YOUR PRODUCTIVITY MANAGER'S NAME) **DATE** Gary Baucum 7/15/14	**TELEPHONE NUMBER** 213-974-8226 **EMAIL** gbaucum@apd.lacounty.gov
DEPARTMENT HEAD'S NAME AND SIGNATURE **DATE** Janice Fukai 7-15-14	**TELEPHONE NUMBER** 213-974-8163

We Support Plain Language

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1st FACT SHEET – LIMITED TO 3 PAGES ONLY: Describe the **Challenge, Solution, and Benefits** of the project.

Challenge

1. APD is appointed on approximately 30,000 new cases every year. California State Bar rules require APD to store those files for the life of the client, which functionally means for 50-60 years. APD cannot possibly store these case files onsite, so a private vendor is used to store all closed cases. Each year APD costs for storage and retrieval of these documents would increase by roughly $15,000 per year. These rising costs were not sustainable for an already lean APD budget. In addition, attorneys routinely must review closed files as part of their case research and preparation for pending cases. Offsite vendor storage delays access to critical information, is more likely to lead to lost information, and can cause court delays.

2. APD attorneys also need to access their active case files from locations other than their office (court and home). Frequently these files are voluminous, requiring APD lawyers to transport multiple banker boxes of file documents to these remote locations. APD needed a system that would allow for the creation, access, and updating of all records and documents in an active case. Essentially, APD needed a paperless Active eCase system for quick, efficient, and easy access to case file documents.

3. APD has high speed scanners in every branch office. These scanners could be used to scan many of the cases, both active and closed, directly into a document management solution. The problem was how to make the process more efficient, and reduce the need for direct user interaction to properly index the documents for storage and retrieval. Otherwise the process was too time-consuming for bulk scanning.

4. The County Probation Department delivers hundreds of probation reports to the courts every day. These reports are hard copy, and are for active cases currently set for a hearing on the court's calendar. Copies are provided to the judge, prosecuting attorney, and all defense counsel. Probation has a Case Management System that has the ability to deliver these same reports, in PDF format, to other justice system partners via an electronic exchange maintained by the County's Information Systems Advisory Body (ISAB). These electronic reports are identical to the reports hand delivered to the courts every day. The advantage of eDelivery is that counsel receives the report 2-3 days earlier than in court delivery so they are better prepared, paper can be saved, and scanning costs are reduced. APD needed an eDelivery capability that would automatically deliver the reports into APD's system with no user intervention required, and automatically notify the assigned attorney once the report was available, so they could begin to prepare for the court hearing.

5. APD receives hundreds of requests every year from former clients for a copy of their case file. Once a demand for a file is made, State Bar Rules require a prompt delivery of a properly redacted and complete client case file. In a paper based, off-site storage system, these requests would routinely take 4-8 weeks to complete, depending on the size of the file. This could lead to complaints by the client to the State Bar for non-compliance with State Bar Rules. APD needed a document management solution and protocol that would reduce this time frame, allow it to properly document and store the proof of compliance with the request, and make that information immediately available from any desktop.

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Solution/Benefits

APD developed the Active eCase Document Management and Archival System (DMS) in a phased functional implementation. The system provides immediate desktop access to both archived closed files and active case files, it shares information seamlessly with all staff, is accessible from any workstation with internet access, interfaces with other justice systems for sharing information, and provides a speedy interface for the uploading of documents and processing of client file requests By increasing access to this mission critical information, APD's DMS has increased productivity, enhanced service to our clients, enhanced service to the courts, reduced actual storage costs, and avoided additional storage and scanning costs.

Phase1 (eArchive) – In April 2011 APD launched its document management solution with closed case archive functionality. This functionality allows for all closed files to be scanned into the DMS and thereafter destroyed. Since implementing this system, no closed cases have been sent to APD's off-site private storage vendor, effectively capping the total volume of stored cases and avoiding annual increased storage costs. Instead, all new cases are either sent out to a scanning vendor for processing, or scanned internally by APD staff. In addition, when any file needs to be pulled from storage, the entire box containing the file is pulled as well. The entire contents of the box are then scanned into the DMS. Because APD must pull hundreds of cases each year from storage, the total volume of boxes stored by the offsite vendor declines, reducing APD's monthly storage costs.

Once a case is scanned into the DMS, it is immediately accessible to all staff from their desktop through a JAVA/Browser based interface. APD has stored approximately seven million pages of case documents, or about 90,000 case files. This has resulted in reduced actual costs and cost avoidance for ongoing storage. Overall productivity is enhanced because all staff now has immediate access to closed files, which speeds case preparation and reduces court delays.

Phase 2 (eActive Case) – In April 2012, APD added the active case functionality. This allows attorneys to create and build an electronic case file for cases currently pending in court. These paperless files can be accessed securely from anywhere the attorney has internet access, via PC's, or tablets. Attorneys can share their electronic files with team members (other attorneys, investigators, and paralegals), and access them from court, or from home. Documents and exhibits can be prepared ahead of time, stored in the electronic case file and then used in court while conducting examinations of witnesses, arguing motions, or presenting argument to juries.

(Client File Request Protocol) – In April 2012, APD added a functional protocol for handling requests from former clients for their case file. This protocol along with the ability to electronically store the relevant documents has cut the processing and delivery time for these file requests in half, and protects the APD and the County from potential liability for non-compliance. It has also helped reduce the total volume of cases stored with APD's offsite vendor since the requested case original is sent to the client with APD retaining an electronic copy for its records. The retained records are used for documenting compliance with the State Bar.

Phase 3 (Auto-Indexing) - In April 2013, APD implemented auto-index functionality to its DMS. Auto-Indexing allows APD staff to scan documents and case files directly into the DMS without any user interaction with the DMS application. At the time of scanning, users simply enter a file name at the scanner console and the scanned material is automatically indexed to the correct case record in the DMS. This feature was developed primarily to simplify the process necessary to scan an entire file into the DMS to accommodate in-house scanning of closed case files.

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LINKAGE TO THE COUNTY STRATEGIC PLAN (DETAIL IS REQUIRED FOR COUNTY DEPARTMENTS): **GOAL 1 - OPERATIONAL EFFECTIVENESS; GOAL 2 - FISCAL SUSTAINABILITY;**

Since implementing auto-index, APD staff has scanned every closed misdemeanor case file closed since April 2011into the DMS, saving approximately $24,000 per year in out-side vendor scanning costs.

Phase 4 (eProbation Reports) – In April 2014, APD, in collaboration with ISAB, implemented electronic delivery of probation reports to APD's DMS. ISAB had already developed the infrastructure for the electronic exchange of information between county justice departments, and specifically the delivery of probation reports directly from the Probation Department's case management system. APD then created the ability for its DMS to find, retrieve, and automatically index electronic probations reports into its DMS. Probation reports are now delivered to APD's DMS 2-4 days prior to the scheduled court hearing. Once electronically delivered, an email notification is automatically sent to the assigned attorney informing them that the document is available for their review. This allows APD attorneys time to review the report for pertinent information, find any errors, and perform any follow-up required (phone calls to interested parties, etc.) prior to the court hearing date. APD attorneys are better prepared for their clients hearing, and there are fewer court delays due to discovering previously unknown information on the date of the hearing (normal delivery date for probation reports).

County Strategic Plan Linkage:

County Goal 1- Operational Effectiveness

This project substantially increases APD's operational effectiveness by providing a comprehensive document management solution that provides instant access to mission critical information directly from desktop PC's, anywhere staff has an internet connection. It allows attorney staff to more effectively prepare their cases, supports in court litigation, allows for the sharing of information with other staff, and makes it possible to take their cases wherever they go. APD's DMS has resulted in better prepared and better organized attorneys.

County Goal 2 – Fiscal Sustainability

This project promotes fiscal sustainability by reducing the actual costs of long term case file storage; avoiding additional long term storage costs by eliminating the need to store any cases generated since 2011 (approximately 120,000 case files); and avoiding outside vendor scanning costs.

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COST AVOIDANCE, COST SAVINGS, AND REVENUE GENERATED (ESTIMATED BENEFIT): If you are claiming cost benefits, include a calculation on this page. You must include an explanation of the County cost savings, cost avoidance or new revenue that matches the numbers in the box. Remember to keep your supporting documentation.

Cost Avoidance: Costs that are eliminated or not incurred as a result of program outcomes.

Cost Savings: A reduction or lessening of expenditures as a result of program outcomes.

Revenue: Increases in existing revenue streams or new revenue sources to the County as a result of program outcomes.

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$ 79,368	**$1,798**	**$ 0**	**$ 81,166**	☐

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Cost Avoidance

APD scanned 820,000 pages in-house using auto-index, rather than sending those files out to its scanning vendor SourceCorp. Scanning charges avoided are as follows:

8% of volume (65,600) are color pages @ $.0395 per page	= $ 2,591
92% of volume (754,400) are B/W pages @ $.0288 per page	= $21,715
Total	$24,309

APD estimates that the amount of time saved for attorney/paralegal/clerical staff with APD's DMS are:

Attorney	500 hours saved at $82.30 p/hour = $41,150		
Paralegal	250 hours saved at $39.81 p/hour = $ 9,952		
Clerical	250 hours saved at $31.66 p/hour = $ 3,957		
	Total	$55,059	$55,059
			$24,309
		Total Cost Avoidance	$79,368

Cost Savings

APD is charged for file storage according to the total cubic feet stored. The total cubic stored by APD's offsite storage vendor would be 13,413 cubic feet, absent its DMS, resulting in an annual storage cost of $22,534.

Because of boxes sent out for scanning or pulled from storage, due to client and attorney requests, and never returned because they were scanned into APD's DMS, the total cubic feet in storage was reduced to 12,345 with an annual cost of $20,736.

Total Cost Savings $1,798.