



Inspector General Insights

Background: The Courts Division has utilized ShowCase as their case management system since 2008. The system is supported by Equivant. We audited the ShowCase version 2.5.9/2.6.0 implementation processes and controls to evaluate and ensure proper policies, procedures, and internal controls are in place to mitigate deployment risks.

A ShowCase version release occurs approximately every four months. Ideally, each version release should be tested and deployed in production before the next release rollout. Conversely, if releases are not tested and deployed timely, Collier County has an increased workload of testing and deploying multiple versions. Furthermore, Equivant will only support the current release and one major release level back.

Objective: The primary objectives for this audit were to determine the issues, root cause, impact, and solutions relating to any delays in the latest version deployment. Areas reviewed in the audit objectives included:

1. General and System Specific Clerk's Information Technology (IT) Change Management Processes
2. System Testing
3. Testing Environment
4. Backup and Recovery

Scope: We reviewed the processes utilized in the 2.5.9/2.6.0 ShowCase version deployment.

Observations: Each delay below was addressed by an interim solution and a final solution, so there was no lasting impact of the delays.

Delays Encountered:

- The primary post-deployment issue related to slow loads which caused deadlocks. A deadlock happens when two (or more) transactions block each other by holding locks on resources each of the transactions also needs. Deadlocks are the result of application code combined with database schema resulting in access patterns which lead to a cyclical dependency (e.g. application code causes deadlocks).
- Database updates from the two version updates were installed out of order, which caused a missing parameter.
- In the Bonds Discharge workflow, bonds did not discharge for closed cases.

Recommendations & Actions: To reduce the likelihood of further delays:

- IT Change Management policies and procedures should be designed to ensure centralized communication, completeness of test scripts, and project management oversight. Internal controls should be recognized and documented therein.
- Test scripts for regression and the test tracking documentation should be complete, and they should be updated or noted as needed for future implementations.

Conclusion: Since our audit, the Courts Department has hired a former Equivant employee to guide in testing and implementations. We will perform a follow-up audit to observe any changes in the process, and the incorporation of our recommendations.

Total # Transactions	Amounts Audited or Reviewed	Questioned Costs	Taxpayer Savings	# Observations / Recommendations
1	N/A	N/A	N/A	2