



# Administrative Office of the Courts

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LOCAL INTEGRATION ASSESSMENT  
METHODOLOGY  
VERSION 2.0

MARCH 15, 2007



ADMINISTRATIVE OFFICE  
OF THE COURTS

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INFORMATION SERVICES DIVISION



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INFORMATION SERVICES DIVISION

PREPARED BY



Judicial Council of California  
Administrative Office of the Courts  
Information Services Division  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

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## INTRODUCTION

## I. Introduction

This document provides court management, operations, and technical personnel, in partnership with the Administrative Office of the Courts (AOC) Information Services Division (ISD), Data Integration (DI) Program, with a methodology for documenting, assessing, and developing an ongoing automated local integration strategy as courts transition from their current case management systems (CMSs) environment to a new CMS (California Case Management System [CCMS]; SUSTAIN Technologies, Inc., Justice Edition; ISD Corporation ICMS; etc.).

Providing a structured and organized approach for evaluating the integration environment will help courts prepare for the transition to a new CMS and provision of needed interfaces and other integration capabilities into their implementation preparation and planning.

### A. Document Objectives

The objective of this document is to provide a structured process and approach that will enable the court, its local justice partners, and any other judicial branch stakeholders to:

- Establish an approach for organizing the assessment of integration capabilities between justice partners and the court.
- Document the current integration environment between the court and its justice partners.
- Determine a strategy and approach for identifying the integration capabilities to be maintained as part of the court's transition to a new CMS.
- Document a general plan of action for proceeding.
- Request an estimate from the vendor community for work required to implement the integration strategies defined by the court.

Achieving these objectives will position the court and its justice partners to maintain integration capabilities needed in an overall CMS transition. It is important to note that while the methodology provides a structured framework for assessing the court's local integration environment, it is not intended to be a "cookbook," where each task must be strictly executed in the order described. The actual steps and actions taken to complete the assessment are expected to vary, and the approach taken must be adapted to the needs of each court, its environment, and the circumstances. The methodology does, however, seek to provide a mechanism for comprehensive evaluation, and any decision to significantly deviate from the methodology should be considered carefully.

### B. Document Organization

This document is organized under the following headings:

- *Methodology Framework* – Identifies underlying principles to be considered and applied in executing the methodology and provides a summary of the methodology phases.
- *Preparation Phase* – Documents the plan and schedule for completing the desired steps in the methodology.
- *Assessment Phase* – Defines the actions to be taken in documenting the court’s current local justice partner integration environment and provides tools to facilitate the assessment process.
- *Strategy Formulation Phase* – Outlines appropriate steps and considerations that will assist the court and its local justice partners in identifying an overall strategy for maintaining desired integration capabilities as part of the CMS transition.
- *Planning Phase* – Builds upon the outcomes of the previous phases to develop a scope of work for sizing subsequent requirements, design, and implementation activities.

This document proceeds from a general overview to specific process steps and actions to be taken in completing a comprehensive assessment and developing a well-considered strategy for the current integration environment. Also, Appendix A provides a glossary of terms and acronyms.

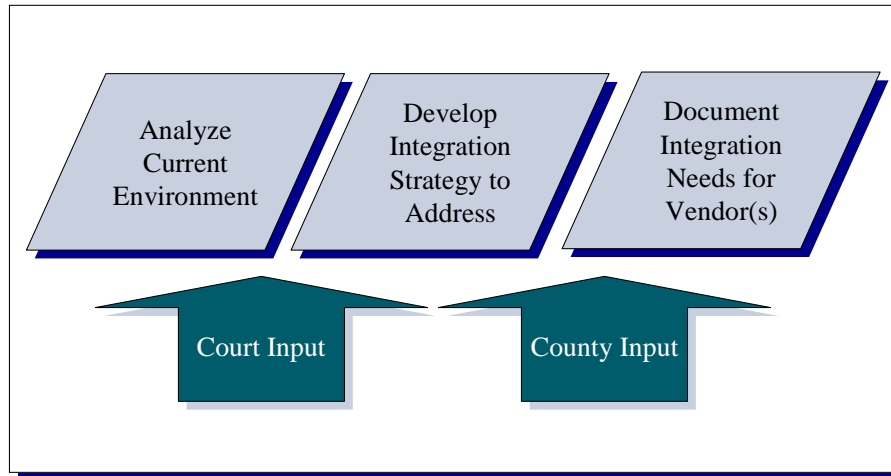


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METHODOLOGY FRAMEWORK

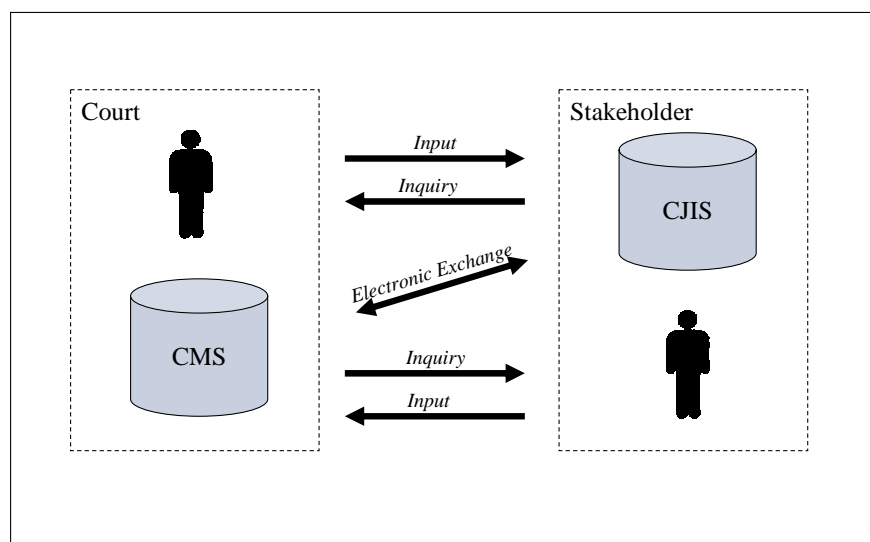
## II. Methodology Framework

This section describes what is meant by “integration,” outlines a general set of principles that frame and guide the assessment of the local integration environment, and provides a general overview of the assessment and planning process. The objectives of the methodology are to take court and county input into the analysis of the current environment, the creation of an integration strategy, and the scoping of integration needs.



### A. Definition of Integration

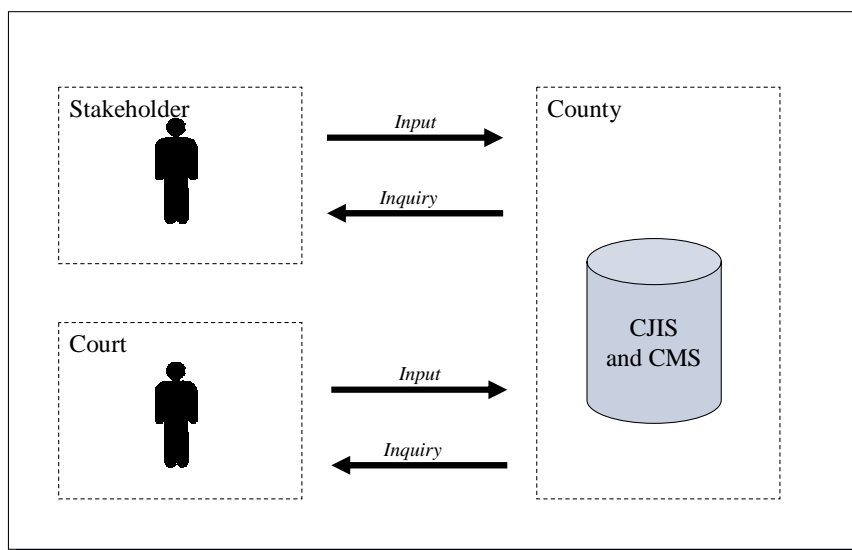
For the purposes of assessing the local integration environment, integration is broadly defined to include all types of electronic information sharing between the court and its information stakeholders. Often exchanges appear in different ways within a local jurisdiction. The following diagram depicts some of the most common information exchange mechanisms:



As the above diagram indicates, the following integration mechanisms are commonly used today in sharing information between the court and its justice partners:

- Interfaces and/or extracts that electronically move data between the court and a partner system (batch and interactive).
- Inquiry access by the court to partner application systems.
- Inquiry access privileges for justice partners to the current court CMS.
- Direct data entry by court staff into partner systems.
- Direct data entry by partner staff into the current court CMS.
- Electronic interfaces between other court applications and the current court CMS.

It is also common for many county environments to leverage a centralized, shared data repository for all operational information systems. By definition, this is another common means of data exchange and is depicted in the diagram below.



When a shared information system is used within a jurisdiction, both the court and its justice partners access the same information system. As such, the following additional integration mechanisms exist:

- Common/shared databases into which multiple agencies enter information where there are logical exchanges of information (e.g., the court and district attorney [DA] applications share a common database, and complaint information is provided by the DA through this mechanism to allow the court to open a case).

- Reports run against the current court CMS that are specialized for a specific partner or group of partners.
- Electronic extracts of court data provided to a shared data repository outside the court's and partners' primary applications (e.g., a data warehouse).

Regardless of the environment, all of the above should be documented and evaluated through the course of this methodology so as to provide a comprehensive view of the current environment.

While not all of these integration types require the development of interfaces, they should all be considered and documented as the court moves forward in its transition planning to the future CMS environment.

## **B. Underlying Principles and Assumptions**

As the court and its partners undertake an assessment of the local electronic integration environment, there are several basic principles and assumptions that transcend the methodology components and help guide the overall effort.

**Underlying Principles.** The following is a list of the Local Integration Assessment Methodology's (LIAM's) basic premises which permeate the remainder of this document:

- *Focus on existing integration capabilities and potentially additional capabilities for which judicial branch Data Exchange Specifications (DES) are in place.* To reduce overall implementation risk, it is not best practice to automate every information exchange at once. Rather, the court should first focus on replicating existing integration capabilities and not unduly expanding the scope of the integration effort to include new automated information exchanges. However, the transition to a new CMS does in fact present an opportunity for change where the court may choose to take advantage of DES-based exchanges already implemented at other courts. This could provide the court with the option of automating some new high-value information exchanges consistent with the DES.
- *Begin as early as possible.* Defining, developing, and delivering needed integration capabilities can be a time-consuming and complex undertaking. In order for the provision of desired capabilities to not negatively impact the overall CMS implementation schedule, the assessment methodology outlined in this document should get under way as soon as the court has made the decision to change its CMS environment.
- *Leverage DES wherever possible and practical.* The AOC and an established work group of court participants have defined an initial series of Global Justice XML Data Model (GJXDM) -based exchange specifications.<sup>1</sup> These represent the work group's opinion of the highest-value exchanges to the court and justice partner communities at the time this docu-

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<sup>1</sup> DES conform to GJXDM.

ment was published. Please refer to Appendix B for a list of the currently defined DES exchanges. Application of the DES wherever possible will serve to drive down the incremental cost and time required to develop subsequent similar interfaces. In addition, the ability to offer standard electronic conversations with partners (e.g., a standard content and structure for criminal complaint filing) will facilitate statewide integration objectives among partners and trial courts.

- *Leverage the Integration Services Backbone (ISB) wherever possible and practical.* The ISB is a standard set of tools and services that provide mechanisms for exchange and for sharing information between judicial branch applications and justice partner systems. Leveraging these tools helps facilitate the propagation of common methods and technologies for supporting integration between the court and partner and other judicial branch systems. CMS migration projects should capitalize on and apply needed backbone components.
- *Fully engage court executive management and operations to provide leadership for the assessment effort.* There is a natural tendency to see electronic integration capabilities as a strictly technical problem to be addressed by information technology (IT) personnel. While delivery of integration capabilities is in the IT domain, the need, value, and benefit of these capabilities is clearly in the business domain. Experience has shown that the assessment process requires court executive officer (CEO) leadership and the intimate involvement of court and partner operations personnel. Decisions on priorities for needed integration capabilities for CMS transition, management of the partner relationships in a time of change, and a full understanding of the implications of current capabilities and potential alternatives are clearly business decisions. In addition, the CEO must be intimately involved in understanding and facilitating agreement between the court and justice partners in determining respective financial responsibilities related to the CMS transition.
- *Communicate frequently with the county and justice partners.* The transition from the current environment to a new CMS can be a time of great anxiety for court, partner, and IT support personnel. It is critical that frequent and focused communication, ideally led by the CEO, are an integral part of the assessment and CMS transition process. Stakeholders are reasonably concerned about what the CMS transition will mean to them, how business processes and the technical solutions will change, and who will be responsible for what aspects of the transition. This environment must be managed effectively, and open and honest communication among all of the parties will help manage expectations, communicate status, and provide stakeholders with needed information for timely decision making.

**Underlying Assumptions.** In addition to the principles listed above, the LIAM also makes several core assumptions. These assumptions are outlined below.

- *The primary purpose of the assessment process is to define court needs, and the role and involvement of partners in the process is ultimately a judicial branch decision.* It is impor-

tant to recognize that in the final analysis the decision on how to proceed relative to maintaining current integration environment capabilities rests with the court, with concurrence by the AOC. As one might expect, a significant constraint will be the funds available to support provision of desired capabilities. As such, it will be up to the court to determine the nature and level of participation that parties such as the local justice partners have in the decision-making process. Of course, the political implications, impact on partners, and nature of the relationship with partners and IT providers must be considered and a strategy for inclusion and participation of partners developed early in the process.

- *The results of applying the assessment methodology will support implementation planning and decision making.* It is important to remember that the goal of applying the assessment methodology is to support overall CMS implementation planning (of which integration is a component). The business and technical decisions are required to move the CMS transition effort forward in a timely and well-considered manner. Those conducting and involved in the assessment process must be continually mindful of this goal, considering the impact of decisions made regarding court and partner workload, public safety, and the cost-benefit of investing in continuing current integration capabilities or adding new capabilities based on judicial branch DES. Keeping the desired result in mind will help ensure that the process is providing the data needed to make timely and prudent decisions directed toward realistic and well-thought-out implementation plans.

\* \* \* \* \*

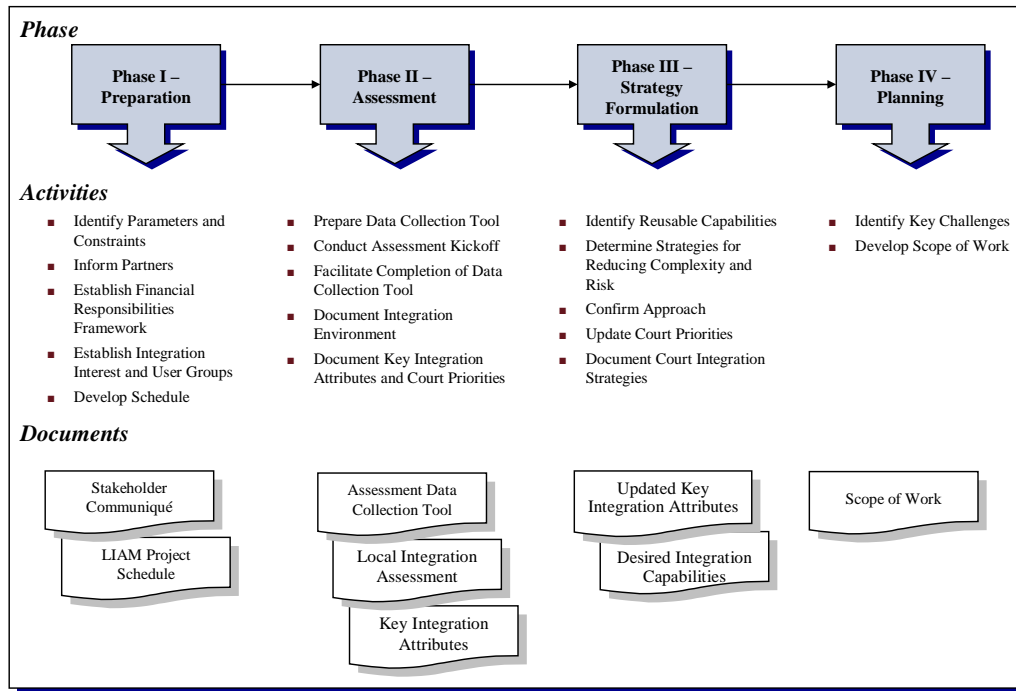
Applying these principles and taking these assumptions as cornerstones of the assessment process will help ensure that all parties are prepared for and aware of the changes that will take place. It also ensures that there is an understood scope for providing ongoing electronic integration and that the court and its partners are leveraging prior work and appropriate standards to support the needed decision-making process.

### **C. Methodology Overview**

The LIAM is intended to provide a structured approach to assessing the current integration environment and making well-informed decisions about what the characteristics of the future environment should be. The following diagram presents a conceptual view of the methodology, outlining key activities in each phase and the associated documents that capture the findings and agreements for each area of activity:<sup>2</sup>

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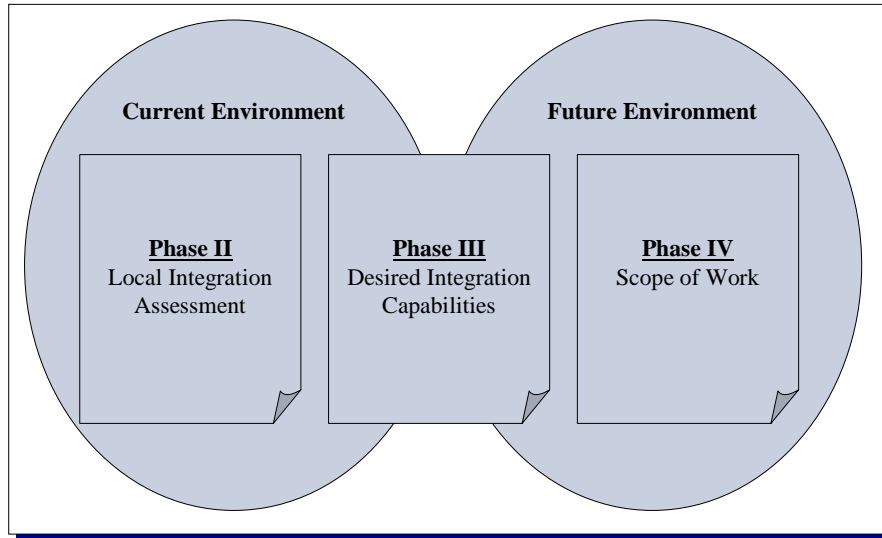
<sup>2</sup> While work on the activities outlined in each phase calls for distinct deliverables, some of them could, depending on timing and need, be combined into fewer deliverables.



The methodology includes four phases, outlined below.

- *Preparation (Phase I)* – This phase includes the project initiation, organization, and management activities for the assessment process and will typically result in a document for use in managing the project and its associated timeline. This project-related information is integrated with the CCMS project deployment schedules managed by the AOC deployment managers.
- *Assessment (Phase II)* – The assessment phase ultimately results in a Local Integration Assessment, documenting the current integration environment within the court. In addition, this phase aims to collect factual information surrounding each interface and compile it in a Key Integration Attributes document, which will be used in the next phases for prioritization.
- *Strategy Formulation (Phase III)* – This phase aims to establish the court’s overall strategy in addressing interfaces identified in the previous phase. In addition, the court’s priorities surrounding each interface are established and documented at a higher level and largely remain at the level of the triggering event.
- *Planning (Phase IV)* – In the planning phase, specific decisions for addressing the interfaces are defined, and further details surrounding the information exchanges, which will be addressed with *automated* interfaces in the future, are documented at a more granular level, including the actual data that is exchanged in each event. The end result of this phase is typically a scope of work to be delivered to the court and/or its preferred integration vendor so that a level of effort can be determined.

The focus of each phase differs and evolves as the LIAM is completed. Where early phases of the LIAM focus heavily on the current environment, later phases emphasize the future environment. The following diagram depicts this evolution as it is reflected in each of the documents.



Completion of these four phases will position the court, local justice partners, county IT, and the AOC to properly consider and incorporate integration needs and priorities into the overall implementation plan. The ultimate result is a scope of work for the integrator to provide a detailed plan and cost estimate.



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PREPARATION PHASE

### III. Preparation Phase

This initial phase of the methodology is intended to establish an organized structure and framework for proceeding through the overall assessment process.

#### A. Objectives

The objectives of the preparation phase are to:

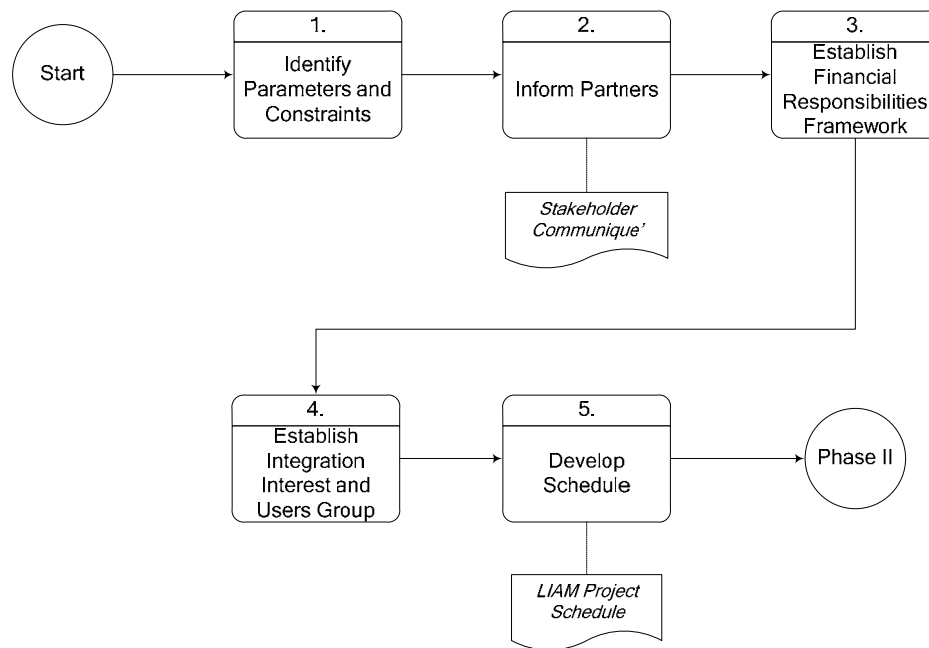
- Inform partners about the court’s CMS transition plans and establish an ongoing communication process.
- Define the schedule for completing the assessment process.

Before moving to the next phase of the methodology, each of the above objectives must be met and supporting documents produced. If the decision is made to proceed with any objectives unmet, that decision should be documented and clearly communicated to stakeholders.

#### B. Activities and Documents

This subsection provides detail for each of the steps in this phase of the LIAM. Figure 1 illustrates the tasks associated with Phase I and related documents.

**Figure 1: Phase I – Preparation**



**Identify Parameters and Constraints.** The objective of this first task in the assessment process is to have the CEO and the AOC DI Program identify any factors that are expected to influence the

overall CMS migration project in terms of the desired integration approach, priorities, and timing. Factors to consider in this task include the following:

- What is driving the court's overall desired implementation time frame?
  - » For example, is the court highly motivated to transition to the new CMS as quickly as possible, and would that influence its perspective and priorities in maintaining current integration capabilities?
- What general funding constraints exist?
- What obligations does the court have, in terms of time and funding commitments, to its current CMS IT provider, and what IT service agreements are in place that must be considered and/or honored?
- Further, what are the requirements for advance notice to impacted parties that the court is committed to implementing a new CMS and abandoning the current CMS?
- How does the relationship between the court, its local justice partners, and IT providers affect costs and interest in working with the court through this assessment process and on into the design and delivery of integration capabilities with the new CMS?
  - » For example, will the court/partners' IT providers want to charge the court for working on the assessment?
- Are any local justice partners, to the court's knowledge, either in the process of or committed to changing any of their operational systems involved in the current integration environment?
- Are any integration projects under way or committed to that involve the court?
- What standing technical or business leadership committees or boards exist within the county that should be involved or could play a role in the assessment process?
- What is the perceived level of interest by local justice partners in maintaining the current integration environment?

Along with the above questions, it is assumed that the AOC deployment manager is working closely with the court during this phase to establish requirements relative to the California Courts Technology Center (CCTC).

**Inform Partners.** It is critical that the local justice partner community be aware of, and participate in, the local integration assessment process. This involvement will help ensure that the court's needs and perspective are understood and will provide early notice to stakeholders that gives them time to prepare for and accept the impending changes that will take place. In addition, engaging partners early in the process will help the court foster a collaborative work environment. This is a preparatory step toward establishing a stakeholder interest group that will be kept informed of activities

under way and provide needed input on characteristics of the current integration environment that ought to be maintained. At this point, the court should develop a document to be shared with the stakeholder community.<sup>3</sup> The audience for this communication should include local justice partners and their application/infrastructure providers, as well as the court's current CMS provider. The communication should include:

- A definition of the scope of the integration assessment and its objectives.
- An overview of the impending LIAM (a summarization of relevant portions of the methodology in the document).
- The court's desire to establish an Integration Interest Group that will support the assessment process and comprise the court CEO and impacted stakeholder senior management and/or department heads.

This communication should take place as early as possible. Framed by information gathered, decisions made, and policy framework established in the preceding steps, the court is well positioned to establish a collaborative dialogue with local justice partners as current integration capabilities are assessed and a plan of action for moving forward is developed.

*Document: Stakeholder Communiqué*

**Establish Financial Responsibilities Framework.** In this task, the court and the AOC consider the anticipated integration needs and work together to define the expected financial responsibilities for each party. This framework helps to ensure that the court and the AOC have consistent expectations, goals, and objectives relative to the costs involved in integration. In accomplishing this task, the following are several key aspects that should be considered by the court and the AOC:

- Integration deployment costs.
- Ongoing integration infrastructure maintenance.
- Justice partner deployment costs.
- Shared countywide repository cost responsibilities.

The AOC has established and published a number of general expectations for the courts' consumption in the judicial branch framework document. For reference, this document has been included in Appendix C and can be shared with members of court management as they begin discussions with the AOC in this task.

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<sup>3</sup> Preparation of a document will provide a formal, consistent notification of the court's plans and approach. Court management may also wish to supplement this document with informal or formal conversations with stakeholders.

It is important to note that the establishment of fiscal responsibilities is within the domain of the court and deployment team. While described in this document, the LIAM analyst is not expected to participate in the fiscal responsibilities planning. Instead, the court CEO is expected to work closely with the county and appropriate AOC management to establish responsibilities and determine what cost-sharing opportunities exist for integration and ongoing maintenance of integration. Actual costs are not determined until after the LIAM has completed, however discussions regarding general fiscal responsibilities must begin as soon as possible to ensure that adequate funding is available.

**Establish Integration Interest and User Groups.** Once partners have been informed about the court's plans to transition to a new CMS, the court should move to establish one or two stakeholder interest groups. The purpose of these groups is to:

- Provide a forum for communication between the court and justice stakeholder community.
- Establish a senior management group that can provide stakeholder perspective on the current integration environment and the need/value of maintaining current capabilities as the court transitions to a new CMS.
- Facilitate the allocation of stakeholder resources to complete the assessment in an agreed-upon time frame.
- Assign members of the Integration Interest Group the responsibility to ensure that their management and staff are aware of the assessment, are available to support the assessment process, and encourage a candid and cooperative approach with the LIAM analyst.
- Inform stakeholder organizations of court plans and decisions.

As the integration principles indicate, the final decision on how to proceed relative to maintaining the current integration environment rests with the judicial branch. For that reason, this body is characterized as an interest group. The group should be composed of:

- CEO (may act as group chair).<sup>4</sup>

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<sup>4</sup> The CEO, as group chair, may wish to request involvement by AOC DI Program management at the initial meeting and selected ongoing discussions.

- Local justice partner senior management.<sup>5</sup>
- Senior management providing court/partner application and infrastructure services.<sup>6</sup>

It is possible that an existing group or committee within the county is focused on public safety or justice collaboration. If so, this existing body should be utilized rather than creating a new group. The court should convene an initial meeting of this group to clarify the court’s plans and objectives, walk the members through the assessment process approach,<sup>7</sup> and confirm with the group’s membership the roles and responsibilities of the participants in the process.

In some jurisdictions, county and justice partner personnel take a very active role in shaping IT decisions. In these counties, it may be best to establish a second interest group comprising primarily business users. The membership of this group varies by jurisdiction; however, it likely consists of operations and IT staff from the court, county, and local justice partners.

Formulation of a users group is also beneficial in that it can assist in clarifying details surrounding the current integration environment and help on a more frequent basis than would otherwise be practical for the interest group.

**Develop Schedule.** In this process step, the LIAM analyst prepares a list of tasks and an anticipated timeline for completing the assessment. At this point in the project, the LIAM analyst should work closely with the AOC deployment manager and any court project management personnel to integrate the LIAM project schedule with the overall CMS deployment project plan. The latter is expected to include the following components:

- Confirmation and identification of any incremental costs that will be incurred to support the assessment process (e.g., county IT will charge to support the assessment, a third party will be contracted to facilitate and complete the assessment process).
- Specific resource assignments for the tasks in the project schedule (court, partners, IT providers).
- An updated roles-and-responsibilities matrix for each phase of the assessment process.<sup>8</sup>

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<sup>5</sup> Members should include those who have or support some form of electronic integration with the court within the project’s scope. If it is determined that additional partners are affected as the assessment gets under way, supplemental members can be added at that time.

<sup>6</sup> Ibid.

<sup>7</sup> The court may wish to provide stakeholders with a customized/summarized version of this methodology document that includes the methodology steps in which partners will be involved.

<sup>8</sup> The matrices provided at the end of Sections III, IV, V, and VI can be utilized as a baseline and refined to meet the needs of the project.

- Identification of individuals who will act as contact focal points within each stakeholder organization to facilitate determining meeting participants, gathering needed information, and providing support to the assessment process.
- Planned meetings between the LIAM analyst and court/stakeholder key contacts.
- Schedule of Integration Interest Group meetings.
- Review process for documents.
- Status reporting method and process.
- Communication plan that describes what methods will be utilized to communicate with stakeholders and who is responsible for communicating with each stakeholder group.
- Fiscal responsibility framework defining cost-sharing principles surrounding the integration effort.

At the end of this step, the LIAM analyst should have the schedule approved by the Integration Interest Group, where each stakeholder is committed to supporting the tasks and schedule established. In addition, the LIAM analyst should confirm with the AOC deployment manager and Integration Interest Group that the objectives of Phase I have been met and the assessment should proceed into the next phase.

*Document: LIAM Project Schedule*

\* \* \* \* \*

At the end of this phase, the court and its local integration justice partners will be prepared to undertake and complete the assessment process.

**C. Roles and Responsibilities**

In order to effectively complete the work in this phase of the assessment process, there must be clear responsibilities outlined for the participants. The matrix provided in Exhibit I provides typical roles and responsibilities of the various parties for each step in this phase of the methodology.<sup>9</sup>

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<sup>9</sup> Roles and responsibilities can be adapted as needed to suit the situation.

CALIFORNIA ADMINISTRATIVE OFFICE OF THE COURTS  
LOCAL INTEGRATION ASSESSMENT METHODOLOGY

**PHASE I ROLES AND RESPONSIBILITIES MATRIX**

**Legend:** **A** = Approves documents.

**L** = Provides executive leadership, facilitates issues, provides resources.

**P** = Participates. Assists in data collection, analysis, document production.

**V** = Validates. Provides confirmation that documents/decisions are supported.

**I** = Provides input as requested into process and content.

**M** = Manages daily activities, process, and documents.

**S** = Provides methodology support, reviews documents, provides feedback.

**D** = Makes branch policy-level decisions. Manages AOC resources.

Participant	Task and Responsibility				
	1. Identify Parameters and Constraints	2. Inform Partners	3. Establish Financial Responsibilities Framework	4. Establish Integration Interest and User Groups	5. Develop Schedule
CEO	L, I, A	L, A	L, A	L, A	L, I, A
Court Operations Management and Staff	I	I, P	-	I	I, P
Court IT Management and Staff	I	I, P	I	I	I, P
Current Court CMS Provider	I	-	-	I, P	I, P
New Court CMS Provider	-	I	-	-	I
AOC DI Program Management	D	D	D	D	I, V
AOC Deployment Manager	S, I	I	I	I	-
LIAM Analyst	M, P	M, P	I	M, P	M, P
Partner Senior Management	-	-	P, V	P, V	V
Partner Operations Management and Staff	I	-	I	I	I, P
Partner IT Provider Senior Management	I	-	I	P, V	V
Partner IT Provider Operational Management and Staff	I	-	-	I	I, P



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ASSESSMENT PHASE

#### IV. Assessment Phase

This phase of the assessment documents the current local integration environment and begins the process of gathering data. At this point of the LIAM, the LIAM analyst and court also identify key requirements and issues that will be faced by the parties involved in integration.

##### **A. Objectives**

The objectives of the assessment phase are to:

- Document the current integration environment between the court and its partners.
- Identify any known significant issues or challenges the court and its local integration partners will face and make recommendations for addressing those items.
- Begin the data-gathering process to enable prioritization and assessment of the operational impact of current integration capabilities for use in the next phase.<sup>10</sup>

Before moving to the next phase, each of the above objectives must be met and supporting documents produced. If the decision is made to proceed with any objectives unmet, that decision should be documented, accepted by the deployment manager, and clearly communicated to the Integration Interest Group and stakeholders.

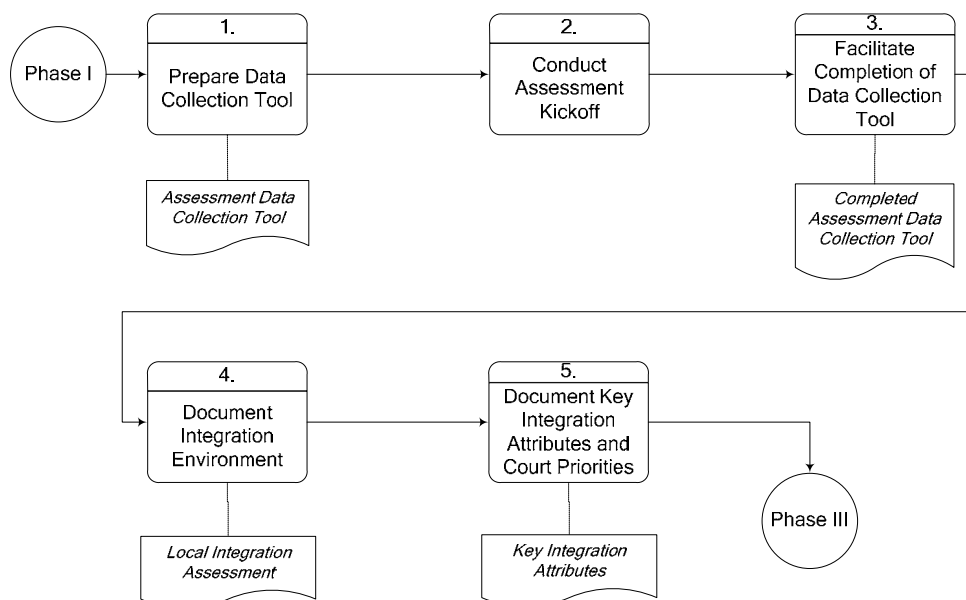
##### **B. Activities and Documents**

This subsection describes the tasks, activities, and documents associated with Phase II of the methodology. Figure 2 illustrates the tasks and documents in this phase. Each task is outlined in more detail below.

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<sup>10</sup> This objective could be deferred to the next phase in the methodology if there is adequate lead time before the court plans to implement the new CMS. However, the development of interfaces and other integration capabilities tends to be complex and time-consuming. Therefore, every effort should be made to take action as quickly as possible in order to leave adequate time for design and development of the integration capabilities to be perpetuated with the new CMS.

**Figure 2: Phase II – Assessment**



**Prepare Data Collection Tool.** In order to facilitate understanding and documenting the current integration environment, the LIAM analyst should provide a tool that the court and justice stakeholders can utilize to record information about current integration capabilities. The data collection tool should assist the court and other stakeholders in examining all desired dimensions of the integrated environment.<sup>11</sup> Appendix D provides a template that can be utilized by the LIAM analyst to assist stakeholders in the data collection process. In addition, each section of the tool provides descriptive text that gives the user context and definition of the specific information desired. This tool can be customized by the LIAM analyst and court to focus on the agreed-upon scope of integration to be assessed. Since the court and its partners must continue to support agency operations and other initiatives in addition to the local integration assessment, *the court should fill in the tool with known information about the current integration environment.* This will help reduce the workload impact for stakeholders by allowing them to focus on validating information already present in the tool and identifying any missing elements.

*Document: Assessment Data Collection Tool*

**Conduct Assessment Kickoff.** Once the data collection tool has been defined, and presuming the activities in Phase I of the methodology have been completed, the court should schedule a kickoff meeting. The purpose of this kickoff meeting is to:

- Formally initiate the assessment process with the court and its integration stakeholders.

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<sup>11</sup> The dimensions of integration are based on subsection II.A of this document and any refinements made throughout Phase I.

- Review information provided in the Stakeholder Communiqué to ensure understanding.
- Describe the process and schedule for the assessment.
- Confirm support for the process and schedule.
- Inform stakeholders on how to utilize and complete the data collection tool.
- Identify the contact point for questions (typically the LIAM analyst).
- Outline immediate next steps, particularly including the timetable for filling out the data collection tool.

This meeting should be chaired by the CEO,<sup>12</sup> with the bulk of the meeting facilitated by the LIAM analyst. Other participants in this meeting may include:

- AOC Deployment Manager.
- Members of the Integration Interest Group.
- Focal point contacts in each of the stakeholder agencies, including the court.

At the end of this task, the court and its partners should be prepared to complete the assessment process.

**Facilitate Completion of Data Collection Tool.** It should be expected that participants in the assessment process will have some challenges in completing the data collection tool and that the LIAM analyst may need to intervene to facilitate the process and collection of needed data in a timely manner. The LIAM analyst should check in with each stakeholder organization contact and set up meetings to review progress and facilitate gathering the required information. This can be accomplished through a series of interviews or facilitated sessions with the stakeholder organizations. It is recommended that, in order to maintain focus, meetings be scheduled with each organization separately to ensure that adequate attention is paid to agencies' perspectives and current integration capabilities. These meetings can utilize the data collection tool as a framework to take the stakeholder organization through the process of examining each dimension of integration in a structured and organized manner. In addition, in the course of these meetings and discussions, the LIAM analyst should pay particular attention to identifying key challenges and risks that will be faced in working to maintain local integration as the court transitions to its new CMS.

There are two subsections in Appendix D that will require a slightly different approach in assessing and documenting the current environment. They are:

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<sup>12</sup> The CEO should also consider inviting AOC DI Program management.

- *Subsection J.1, DOJ* – This subsection captures information about current DOJ reporting by the court. The capabilities of the court to perform automated disposition reporting with the new CMS are defined by the capabilities of that CMS. The document should describe current reporting processes and capabilities. Four particular characteristics of the current business and technical environment should be explored and documented:
  - » Is the court currently conducting reporting for the DA on rejected charges (no-file decisions) or for the booking/arrest agency?
    - If this is the case, the court will need to make a policy decision regarding continuing this practice and also ensure that the DOJ reporting module in the new system will accommodate the capture of required information.
  - » Is the court currently conducting automated disposition reporting in a shared database environment with the booking agency and/or DA?
    - If so, there may be an implied interface requirement that should be captured in Section A of the Data Collection Tool to ensure that arrest and booking information is transferred to the new CMS.
  - » Does DOJ have inquiry (read-only) access to the existing court CMS?
    - If this is the case, this inquiry requirement should be captured in Section E of the Data Collection Tool.
  - » Does the court have inquiry (read-only) access through the California Law Enforcement Telecommunications System (CLETS) to DOJ-managed repositories (e.g., criminal history)?
    - If this is the case, this inquiry requirement should be captured in Section I of the Data Collection Tool.
  
- *Subsection J.2, DMV* – This subsection captures information about current DMV inquiry and update capabilities. As with DOJ reporting, the capabilities of the court to interact with and perform abstract reporting to DMV with the new CMS are defined by the capabilities of that CMS. The document should describe current inquiry and reporting processes and capabilities. In this situation, there are two particular characteristics of the current environment that should be explored and documented:
  - » Are any components of the infrastructure (e.g., communications line) “owned” by the court and has the court allowed partners to share this line?
    - If so, this capability will likely not be available in a judicial branch technology center implementation. This should be confirmed, documented, and identified as an issue that has to be resolved during the implementation process.
  - » Does the court leverage CLETS for access into the DMV?

- If this is the case, this inquiry requirement should be captured in Section I of the Data Collection Tool.

As an additional step in the process, it is also appropriate to identify whether existing judicial branch Data Exchange Specifications exist that could be leveraged or could provide an opportunity to implement a standard exchange where one does not currently exist. The AOC DI Program can provide the court with a list of exchanges for which current standards exist. If a judicial branch Data Exchange Specification exists but there is currently no existing similar exchange, the court should explore the interest of local justice partners in implementing this exchange as a part of overall CMS transition.

*Document: Completed Assessment Data Collection Tool*

**Document Integration Environment.** Once agencies have compiled their respective current integration capabilities with the court, the LIAM analyst should combine this input to create a comprehensive description of the current integration environment. This document is intended to provide a comprehensive description of current integration capabilities in place between the court and its justice partners. This information provides the foundation for the work to follow, both in the assessment process and beyond. As such, it is critical that stakeholders understand the importance of this document and its role going forward. A template for this document is provided in Appendix E and can be utilized to present the logical interfaces dimension of the current integration environment. Also, if there appears to be interest in adopting additional information exchanges, that information should be included in the document.

The LIAM analyst should consider the information gathered to date and identify any significant risks, issues, challenges, or obstacles to maintaining current integration capabilities in the future. The LIAM analyst, in conjunction with the CEO, should determine if some, none, or all of the risks and issues should be included in the assessment report and provided to all stakeholders, or if they should be included in a separate internal judicial branch communication prior to being shared with partners.<sup>13</sup> Although not an exhaustive list, typical risks and issues that may be encountered include the following:

- A partner is planning to replace a system that is part of the current integration environment.
  - » This may impact the desirability of building capabilities with the partner's existing system.

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<sup>13</sup> There may be situations, for example, where the relationship with the county or partners is difficult, and the court may wish to have some time to develop a strategy for communicating the risks and issues beyond the court and the AOC.

- Partners and/or their IT providers (e.g., the county) may have indicated that they do not have the resources to support the court’s transition efforts in a timely manner.
  - » This likely would impact the court’s desired deployment timeline.
- The existing systems may be old, fragile, and not well documented.
  - » This will influence the feasibility of trying to perpetuate the current integration environment.
- The new CMS may not readily accommodate some existing integration capabilities.
  - » It is possible that some capabilities, as currently implemented, cannot be readily supported under the new CMS.
- The highly integrated nature of a shared database environment may pose a significant challenge for the court to remove itself from the system.
  - » The continued operational viability of the current system may be at risk when the court is no longer putting all of its data into the existing system.
- Relationships between stakeholders and/or current IT providers may be strained, creating an environment where rapid progress may be difficult.
  - » Carefully thought-out strategies for proceeding should be developed.

In addition to describing these items and their implications, the LIAM analyst should put forward recommendations to address each item. Once the draft assessment report and issues/risks have been refined and updated, the assessment report should be brought to the Integration Interest Group for its approval. This approval signifies that the justice community concurs that the report is an accurate reflection of the current integration environment.

Prior to the Integration Interest Group meeting, however, the LIAM analyst should meet with the CEO to brief him/her on the report and discuss any identified issues or risks. The CEO will review the report with AOC DI Program management and, with management’s concurrence, give approval to the LIAM analyst to proceed into the next phase.

*Document: Local Integration Assessment*

**Document Key Integration Attributes and Court Priorities.** This task is led and managed by the LIAM analyst. As is always the case, there is never a situation where there are unlimited funds to support a project or initiative. Given this reality and the fact that providing integration capabilities can be a complex and costly undertaking, it is critical that the focus of attention be on the highest-value components of integration. The necessity for, and impact/benefit of providing or not providing, each aspect of current integration capabilities must be understood in preparation for developing a strategy to move forward in the next phase of the methodology. In order to facilitate

the development of this strategy, the data-gathering process on the drivers for maintaining current integration capabilities should begin now.

A template is provided in Appendix F that can be used as a starting point for discussion. Each environment throughout the state is unique, therefore it is important for the LIAM analyst to work closely with court operations to determine the appropriate criteria to measure current interfaces. The criteria listed across the top of the matrix should be scrutinized and modified as appropriate by the project team. Once the appropriate criteria have been selected, the court's priorities can be measured by applying the criteria to the current interfaces. This tool provides an effective way to communicate the importance of each interface to the Integration Interest Group.

*Document: Key Integration Attributes*

\* \* \* \* \*

Completion of this final step signals completion of the assessment phase. The LIAM analyst should now be ready to move into the next phase of the methodology.

**C. Roles and Responsibilities**

In order to effectively complete the work in Phase II, there must be clear responsibilities outlined for the participants. The matrix provided in Exhibit II provides typical roles and responsibilities of the various parties for each step in this phase of the methodology.<sup>14</sup>

**D. Additional Considerations**

While the primary objective of the LIAM is to document the *automated local* integration environment, it is still worthwhile to initially document *all* existing integration dimensions so that no information exchange is overlooked. This includes information exchange needs which may in fact be met by future CMS functionality. The most common examples are existing reporting capabilities and state justice partner integration capabilities.

**Existing Reporting Capabilities.** Current reports to and from local justice partners are documented in the assessment, but the reporting strategy will be defined by the capabilities of the new CMS and are a responsibility of the overall CMS deployment team. Therefore, they are documented in the Local Integration Assessment only to identify information exchanges that occur through reporting and to transition this information over to the deployment team. This assessment work does not, however, eliminate the need to perform appropriate CMS transition planning. As a part of implementation planning, the court and its integration vendor should still review standard reporting capabilities so as to ensure that reporting needs can be met by the new CMS. These needs could be

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<sup>14</sup> Roles and responsibilities can be adapted as needed to suit the situation.



CALIFORNIA ADMINISTRATIVE OFFICE OF THE COURTS  
 LOCAL INTEGRATION ASSESSMENT METHODOLOGY

**PHASE II ROLES-AND-RESPONSIBILITIES MATRIX**

**Legend:** **A** = Approves documents. **I** = Provides input as requested into process and content.  
**L** = Provides executive leadership, facilitates issues, provides resources. **M** = Manages daily activities, process, and documents.  
**P** = Participates. Assists in data collection, analysis, document production. **S** = Provides methodology support, reviews documents, provides feedback.  
**V** = Validates. Provides confirmation that documents/decisions are supported. **D** = Makes branch policy-level decisions. Manages AOC resources.

Participant	Task and Responsibility				
	1. Prepare Data Collection Tool	2. Conduct Assessment Kickoff	3. Facilitate Completion of Data Collection Tool	4. Document Integration Environment	5. Document Key Integration Attributes and Court Priorities
CEO	L	L	L	L, A	L, A
Court Operations Management and Staff	I	P	P, V	I, V	P
Court IT Management and Staff	I	P	P, V	I, V	P
Current Court CMS Provider	I	P	P, V	I, V	P
New Court CMS Provider	-	-	-	I	-
AOC DI Program Management	D	D	D	D	D
LIAM Analyst	M, P	M, P	M, P	M, P	M, P
Partner Senior Management	-	P	I	I, V	I, V
Partner Operations Management and Staff	-	P	P	I	P
Partner IT Provider Senior Management	-	P	I	I, V	I, V
Partner IT Provider Operational Management and Staff	-	P	P	I	P

met through standard reports in the new CMS, via inquiry access for the partner, or through some other means.

**Existing State Justice Partner Integration Capabilities.** Current electronic interaction between the court CMS and the California Department of Justice (DOJ) and the California Department of Motor Vehicles (DMV) is documented in the assessment, but the DOJ and DMV electronic interactions are typically defined by the capabilities of the new CMS. Therefore, they are documented in the Local Integration Assessment only to identify whether there are characteristics of the current integration environment that may impact partners after the court transitions to the new CMS.

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STRATEGY FORMULATION PHASE

## V. Strategy Formulation Phase

This third phase of the methodology builds upon the prior two phases and is intended to take the court and local justice partners through a process to develop a clearly understood strategy for proceeding into the planning phase.

### A. Objectives

The objectives of the strategy formulation phase are to:

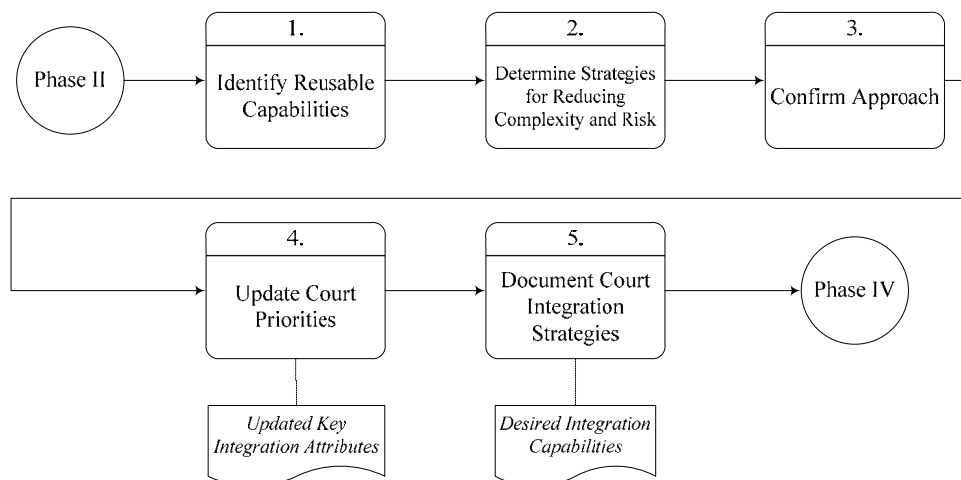
- Define a strategy for addressing each of the exchanges identified in the assessment phase.
- Confirm the constraints and opportunities that will guide and impact the future integration environment.
- Determine the priority of current integration capabilities and identify the capabilities to be provided with the new CMS.
- Identify any supporting strategies that reduce complexity, cost, and risk.

Before moving to the next phase of the LIAM, each of the above objectives must be met and supporting documents produced. If the decision is made to proceed with any objectives unmet, that decision should be documented and clearly communicated to stakeholders.

### B. Activities and Documents

This subsection describes the tasks, activities, and documents associated with Phase III of the methodology. Figure 3 illustrates the tasks and documents in this phase. Each task is outlined in more detail below.

**Figure 3: Phase III – Strategy Formulation**



**Identify Reusable Capabilities.** In order to effectively manage onetime and ongoing costs, it is critical that the court take advantage of other work that has been completed. This includes leveraging judicial branch standards (e.g., DES and the ISB) that may exist, as well as taking advantage of similar integration capabilities that may already have been defined for other court CMS transition projects. The LIAM analyst and the AOC deployment manager should utilize the AOC DI Program as a resource for this effort since it is aware of and/or involved in other CMS transitions statewide.

There may be other planned or completed CMS implementations that include integration capabilities similar, or even identical, to those needed for this implementation. Leveraging other judicial branch or court-specific work already completed can save time and money for this implementation as well as subsequent CMS transition projects. The LIAM analyst may identify and document current integration capabilities from other court implementation processes that may have applicability in this situation.

**Determine Strategies for Reducing Complexity and Risk.** A special effort should be taken at this point to ensure that alternative approaches to providing these integration capabilities have been examined to determine whether there are potential strategies that could be employed to reduce scope, complexity, and risk. These strategies should be documented for consideration in the next task and may need to be confirmed with court management. Potential strategies that may become apparent, for example, might be:

- Providing partners with inquiry-access capabilities to the court CMS in lieu of some other current integration capability.
- The use of standard CMS reports that can be made available electronically or in paper form as a solution to a current integration capability.
- Moving from interactive, transaction-based information exchanges to batch-oriented exchanges, thereby minimizing the need to modify CMS application code.

Completing this task will help ensure that every reasonable effort has been undertaken to minimize the impact of integration capabilities on the court's implementation timeline and the associated risk of the project.

**Confirm Approach.** Work in this task is closely related to the outcome of Phases I and II, as well as the outcome of the two preceding tasks. The objective of this activity is to determine and apply any requirements, principles, or other factors that would influence the interest, priorities, and ability to support the current integration capabilities that were defined in the previous phase. In addition, if issues or risks were identified in Phase II, it is possible that these issues will need to be fully or partially resolved prior to proceeding further. Major areas that should be considered include:

- A partner's plans to replace one of its major systems.
- Potential problems identified by the new CMS in providing desired integration capabilities.
- Judicial branch or partner funding principles and constraints.
- Willingness and capability of partners to share in the financial responsibility of maintaining current integration capabilities.
- Lack of appropriate desktop technology (e.g., PCs) in partner organizations.
- External integration efforts and DES that can be leveraged in this situation.

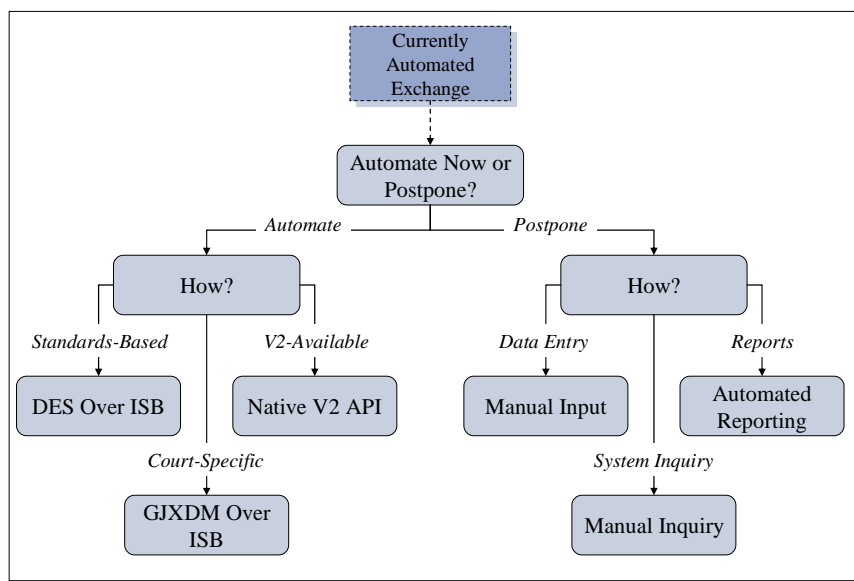
Considering and determining how to apply these and other relevant factors identified in Phases I and II and the two preceding tasks will help guide the court strategy.

**Update Court Priorities.** As discussed earlier in the methodology, there will be a finite amount of funds available to support the project. This may mean that not all aspects of the current integration environment can be perpetuated when the court transitions to its new CMS. Therefore, it is critical that the court establish clear priorities among the various existing or desired capabilities.

Task 5 in Phase II, Document Key Integration Attributes and Court Priorities, must be completed to undertake this task. If any track of that data-gathering activity remains incomplete, the court must also decide whether the process should proceed further without that data. Based on the work performed in documenting the key integration attributes and court priorities, the LIAM analyst should meet with the CEO and court management to discuss court priorities. After a subsequent review with AOC DI Program and court management, the LIAM analyst should update the priorities outlined in the previous Key Integration Attributes document.

*Document: Updated Key Integration Attributes*

**Document Court Integration Strategies.** This task focuses on documenting and communicating the court's desired integration strategy to ensure that partners have a clear perspective on the court's position for moving forward. Each of the previously identified interfaces is discussed with court management and operations to determine the best course of action in order to address the court's future needs. On occasion, this may result in the court choosing to implement some of the interface in an automated fashion and in other instances simply revert to manual processing. The following diagram depicts a general decision tree that the analyst is expected to go through while reviewing each exchange with court management:



Depending on the court’s relationship with the county, this task may involve the county in different ways. In counties where the relationship is very collaborative, the court may choose to heavily involve the county and local justice partners in this decision-making process. In other counties where relationships are strained, the court may choose to develop the strategy in a more autonomous manner and simply share its decisions at a later point. A template document for this phase can be found in Appendix G.

The key issue, as one would expect, will continue to be who is responsible to pay for what. This step must clearly reaffirm and communicate the court’s and the AOC’s policies, decisions, and principles that will guide the remainder of the project. If this is not done, partners are likely to assume that the court and/or the AOC will bear the entire financial burden and will be “surprised” to find out later that this is not the case. Also, the final determination of what the judicial branch is capable of funding is a decision for the court and/or the AOC to make. The court should recognize that, in turn, it will be the partners’ decision as to whether they will support or fund their portion of the court’s desired future interfaces.

*Document: Desired Integration Capabilities*

**C. Roles and Responsibilities**

In order to effectively complete the work in Phase III, there must be clear responsibilities outlined for the participants. The matrix provided in Exhibit III provides typical roles and responsibilities of the various parties for each step in this phase of the methodology.<sup>15</sup>

<sup>15</sup> Roles and responsibilities can be adapted as needed to suit the situation.

CALIFORNIA ADMINISTRATIVE OFFICE OF THE COURTS  
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**PHASE III ROLES-AND-RESPONSIBILITIES MATRIX**

**Legend:** **A** = Approves documents. **I** = Provides input as requested into process and content.  
**L** = Provides executive leadership, facilitates issues, provides resources. **M** = Manages daily activities, process, and documents.  
**P** = Participates. Assists in data collection, analysis, document production. **S** = Provides methodology support, reviews documents, provides feedback.  
**V** = Validates. Provides confirmation that documents/decisions are supported. **D** = Makes branch policy-level decisions. Manages AOC resources.

Participant	Task and Responsibility				
	1. Identify Reusable Capabilities	2. Determine Strategies for Reducing Complexity and Risk	3. Confirm Approach	4. Update Court Priorities	5. Document Court Integration Strategies
CEO	L	L	L	L, A	L, A
Court Operations Management and Staff	-	P	I	P	P
Court IT Management and Staff	-	P	I	P	P
Current Court CMS Provider	I	I	I	I	I
New Court CMS Provider	P	I	I	I	I
AOC DI Program Management	D	D	D	D	D
LIAM Analyst	M, P	M, P	M, P	M, P	M, P
Partner Senior Management	-	I	I	I	V
Partner Operations Management and Staff	-	I	I	I	I
Partner IT Provider Senior Management	-	I	I	I	V
Partner IT Provider Operational Management and Staff	-	I	I	I	I



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PLANNING PHASE

## VI. Planning Phase

The final phase of the methodology takes the results of prior phases to develop a scope of work giving the integrator sufficient information to size and cost for proceeding into requirements definition, design, and ultimately, implementation of desired integration.

### A. Objectives

The objectives of the planning phase are to:

- Prepare the Scope of Work that the integration solution provider(s) for both the court and its partners can utilize to develop cost, schedule, and approach for subsequent activities.<sup>16</sup>
- Obtain agreement from the stakeholders to support the Scope of Work and their respective responsibilities.

These objectives must be met if the court and its integration stakeholders are to move expeditiously forward to detail and provide the desired capabilities. Any objectives not fully met or required decisions not made in this phase should be documented and become the first order of business in subsequent activities.

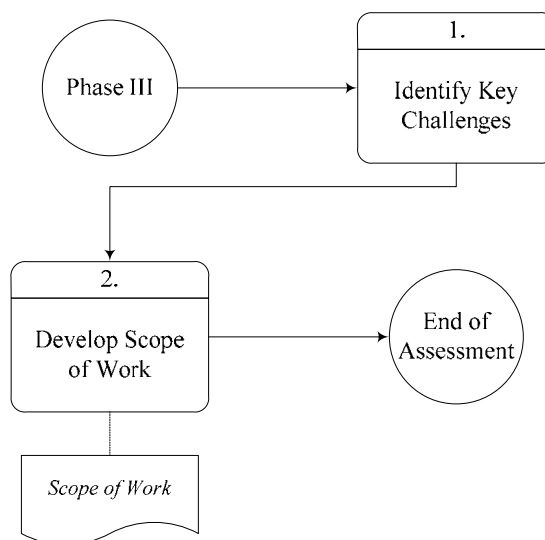
### B. Activities and Documents

This subsection describes the tasks, activities, and documents associated with Phase IV of the methodology. Figure 4 illustrates the tasks and documents in this phase. Each task is outlined in more detail below.

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<sup>16</sup> In conjunction with this objective, it is expected that the AOC deployment manager and the court will further outline and define roles and responsibilities for the work to follow.

**Figure 4: Phase IV – Planning**



**Identify Key Challenges.** As a step in this phase, and based on input received throughout the assessment, the LIAM analyst should confirm the key risks and issues with court and DI Program management. This may be no more than adding new or supplemental information to risks and issues already identified, or it may result in the identification of new items that should be recorded, assigned, and worked to resolution.

**Develop Scope of Work.** The LIAM analyst should lead development of the Scope of Work for providing the desired integration capabilities identified in the prior phase. The purpose of this document is to give the integrator(s)<sup>17</sup> the information they need to determine cost and schedule for developing and deploying the necessary integration solution. The focus of this effort is to document what must be done and articulate any key judicial branch or partner requirements, constraints, or decisions that establish parameters for moving forward. These parameters must be clearly documented and communicated to stakeholders and integrators. Much of this scope document can be developed utilizing and combining components of previously completed documents. Key prior documents that provide input into this process include:

- *Local Integration Assessment (Phase II)* – Represents an agreed-upon comprehensive definition of the current integration environment, lists any potential desirable additions facilitated by the existence of judicial branch DES, and identifies any significant issues or challenges that are known to exist.

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<sup>17</sup> There may be multiple integration providers. For example, there will likely be different providers for the local partners/current court CMS (e.g., county IT and court/partner operations staff) and the new CMS (CMS provider and court operations staff).

- *Desired Integration Capabilities (Phase III)* – Documents the court’s priorities, partner perspective and input on those priorities, prior court integration work that can be leveraged, and any identified strategies for reducing complexity and risk.

Using these documents and the results of other steps in the methodology, the Scope of Work should be developed. The Scope of Work will typically include only information surrounding the desired future environment and simply reference the previous phases’ outcomes for understanding surrounding the current environment. A template for this Scope of Work document can be found in Appendix H.

In addition, as a part of completing the Scope of Work, the following steps should be taken:

- The LIAM analyst should review all LIAM information with the CEO, court, and DI Program management. The purpose of this review is to ensure that there is judicial branch support for LIAM outcomes reflected in the Scope of Work.
- Working with the court and DI Program management, the LIAM analyst should define a strategy for presenting the scope to the Integration Interest Group and determine what the branch’s strategy will be if the plan is not supported by all stakeholders. This may involve “pre-meetings” with one or more key stakeholders by the CEO to ensure support for the scope and general plan of action.
- The LIAM analyst should convene a meeting of the Integration Interest Group to confirm support for the Scope of Work and decisions reflected in the document.

As mentioned above, judicial branch management must recognize that even after these meetings there may not be unilateral support for the plan and decisions will have to be made regarding how to proceed in the court’s best interests.

*Document: Scope of Work*

\* \* \* \* \*

Applying appropriate elements of this methodology, particularly in a highly integrated environment, will facilitate the engagement and participation of integration stakeholders as well as a clear understanding of what must be done, and will position the court to move forward into more detailed integration planning.

### **C. Roles and responsibilities**

In order to effectively complete the work in Phase IV of the assessment process, there must be clear responsibilities outlined for the participants. The matrix provided in Exhibit IV provides typical roles and responsibilities of the various parties for each step in this phase of the methodology.<sup>18</sup>

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<sup>18</sup> Roles and responsibilities can be adapted as needed to suit the situation.

CALIFORNIA ADMINISTRATIVE OFFICE OF THE COURTS  
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**PHASE IV ROLES-AND-RESPONSIBILITIES MATRIX**

- Legend:**
- |  |   |
|--|---|
| <p><b>A</b> = Approves documents.</p> <p><b>L</b> = Provides executive leadership, facilitates issues, provides resources.</p> <p><b>P</b> = Participates. Assists in data collection, analysis, document production.</p> <p><b>V</b> = Validates. Provides confirmation that documents/decisions are supported.</p> | <p><b>I</b> = Provides input as requested into process and content.</p> <p><b>M</b> = Manages daily activities, process, and documents.</p> <p><b>S</b> = Provides methodology support, reviews documents, provides feedback.</p> <p><b>D</b> = Makes branch policy-level decisions. Manages AOC resources.</p> |
|--|---|

<b>Participant</b>	<b>Task and Responsibility</b>	
	<b>1. Identify Key Challenges</b>	<b>2. Develop Scope of Work</b>
CEO	L	L, A
Court Operations Management and Staff	P	P, V
Court IT Management and Staff	P	P, V
Current Court CMS Provider	I	V
New Court CMS Provider	I	I
AOC DI Program Management	D	D, A
LIAM Analyst	M, P	M, P
Partner Senior Management	I	V
Partner Operations Management and Staff	I	I
Partner IT Provider Senior Management	I	V
Partner IT Provider Operational Management and Staff	I	I

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APPENDIX A – GLOSSARY OF TERMS

## GLOSSARY OF TERMS

Term/Acronym	Definition
AOC	Administrative Office of the Courts.
CCMS	California Case Management System.
CCTC	California Courts Technology Center (run by Siemens IT Solutions and Services, Inc., and physically located in Newark, California).
CEO	court executive officer.
CLETS	California Law Enforcement Telecommunications System.
CMS	case management system. Used in the context of this document to refer to the court's current or planned future CMS.
DA	district attorney.
DES	Data Exchange Specifications.
DI Program	Data Integration Program.
direct entry	The ability for a partner to add, enter, update, or delete information in another partner's system through direct terminal/workstation entry.
DMV	Department of Motor Vehicles.
DOJ	Department of Justice.
GJXDM	Global Justice XML Data Model.
inquiry access	The ability for one partner to view information in another partner's system, typically through some form of terminal-/PC-based access, for example, if the Probation Department has the ability to look at information in the court CMS from its computer workstation. It specifically <i>excludes</i> the ability of the inquiring party to change data in the partner's system.
integration solution provider	This is the party that will be developing the solutions for providing the integration capabilities defined through the assessment process. This party may or may not be the new CMS provider.
interface	The electronic extraction of information from one computer system that is provided to, and incorporated into, another computer system, for example, the ability for the court to electronically receive complaint information from the DA system and electronically populate the court CMS with the complaint information in order to open a court case.
ISB	Integration Services Backbone. A set of judicial branch tools



Term/Acronym	Definition
	and services that provide integration services (e.g., data transformation, publishing, support for different protocols) between the court CMS and partner applications, between the court CMS and the public, and between judicial branch applications (e.g., CCMS and Court Accounting and Reporting System [CARS]).
ISD	Information Services Division.
IT	information technology.
LIAM	Local Integration Assessment Methodology.
XML	Extensible Markup Language.

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APPENDIX B – JUDICIAL BRANCH DATA EXCHANGE SPECIFICATIONS

CALIFORNIA ADMINISTRATIVE OFFICE OF THE COURTS  
LOCAL INTEGRATION ASSESSMENT METHODOLOGY

**USE CASES AND SCHEMAS BY EXCHANGE**

*17 Exchanges – 71 Use Cases – 35 Schemas*

Inbound/ Outbound	Use Case	Description	Schema
<b>Exchange: Booking Information</b>			✓
I	Booking Information	The arrest, charge, and person descriptor information collected when an individual is booked on a warrant or a criminal complaint. This document also contains optional court appearance scheduling information.	Booking Information
<b>Exchange: Custody Status</b>			✓
I	Transportation List	The list of persons that will be delivered each day from a detention facility to a court location for scheduled court appearances.	Transportation List
I	Release Agreement	The agreement signed by a subject upon release from a detention facility	Release Agreement
<b>Exchange: Remand Orders</b>			✓
O	Remand Order	Order from the court to the detention facility mandating that a subject be returned to custody.	Remand Order
O	Jail Commitment Order	Order from the court after the adjudication of a case directing that an individual be confined to a local detention facility.	Jail Commitment Order
<b>Exchange: Release Orders</b>			✓
O	Release Order	Order from the court directing that an individual be released from a detention facility	Release Order
O	Book and Release Order	Order from the court directing that an individual be formally booked and then released from custody.	
O	Transportation Notice	This request for removal (also known as a courtesy transport request) is sent by the court to a detention facility when an individual in custody on one case needs to appear in court on another case.	Transportation Notice
<b>Exchange: Court Calendar</b>			✓
O	Public Court Calendar	This scenario represents the publishing of a criminal or traffic court calendar to a member of the public.	Court Calendar
O	Criminal Justice Partners Court Calendar	This scenario represents the publishing of a criminal or traffic court calendar to a representative of a criminal justice agency.	
<b>Exchange: Criminal Complaint</b>			✓
I	New Criminal Complaint Not Based on Citation	This use case represents the scenario in which the prosecutor formally files adult criminal charges with the court against an individual or corporation where charges are not based on a citation. This document also includes optional court appearance scheduling information.	Criminal Complaint
I	Amended Criminal Complaint Not Based on Citation	This use case represents the scenario in which the prosecutor formally files an amended criminal complaint to the court against an individual or corporation where charges are not based on a citation. This document also includes optional court appearance scheduling information.	
I	New Criminal Complaint Based on Citation	This use case represents the scenario in which the prosecutor formally files adult criminal charges with the court against an individual or corporation where charges are based on a citation. This document also includes optional court appearance scheduling information.	

Inbound/ Outbound	Use Case	Description	Schema
I	Amended Criminal Complaint Based on Citation	This use case represents the scenario in which the prosecutor formally files an amended criminal complaint with the court against an individual or corporation where charges are based on a citation. This document also includes optional court appearance scheduling information.	
I	New Information Filing	This use case represents the scenario in which the prosecutor sends a new information filing to the court. This document also includes optional court appearance scheduling information.	
I	Amended Information Filing	This use case represents the scenario in which the prosecutor sends an amended information filing to the court. This document also includes optional court appearance scheduling information.	
<b>Macro Exchange: Traffic Citation</b>			✓
I	New Notice to Appear Traffic Citation	Citation issued by law enforcement for traffic violations. A notice to appear is a document used by law enforcement agencies to charge an individual with an infraction or a misdemeanor, ordering that individual to appear in court on or before a specific date. The citation is used by law enforcement to formally charge an individual with an infraction or misdemeanor.	Traffic Citation
I	New Notice to Appear Non-Traffic Citation	Citation issued by law enforcement for non-traffic (pedestrian or passenger) violations.	
I	New Notice to Correct Citation	A new notice issued by law enforcement for correction of a citation	
I	Amended Notice to Appear Traffic Citation	Corrected notice to appear issued by law enforcement for traffic violations	
I	Amended Notice to Appear Non-Traffic Citation	Corrected notice to appear issued by law enforcement for non-traffic violations.	
I	Amended Notice to Correct Citation	An amendment to an existing notice to correct citation, usually filed by law enforcement with the court to rectify mistakes in the original filing	
<b>Exchange: Collections Referral</b>			✓
O	Summary Collections Referral	Provides summary totals of a court's accounts receivable, by case, for transfer to an outside agency for collection.	Collections Referral
O	Detailed Collections Referral	Contains comprehensive description of court fees, fines, and penalties, including the information needed to manage victim restitution payments. Has been defined in order to support a court's outsourcing of the entire revenue collections process, including forthwith payments/collections, installment payments, and delinquent account collections.	
<b>Exchange: Payment Update</b>			✓
I	Payment Update Report	Use case from an outside agency to the court reporting on the status of collections effort for a case or account. This can include a payment report or update of the status of a collections account.	Payment Update
<b>Exchange: DMV Failure to Appear/Failure to Pay (FTA/FTP)</b>			✓
I	DMV Weekly FTA/FTP Court Clearance Report	This paper-based use case documents the weekly FTA/FTP collection reporting by the DMV to the court, which involves the DMV's collection of case payments directly at the DMV counter, such as when an individual renews his/her driver's license.	DMV FTA/FTP
I	DMV Monthly FTA/FTP Court Summary Report	This paper-based use case documents the monthly FTA/FTP collection reporting by the DMV to the court, which involves the DMV's collection of case payments directly at the DMV counter, such as when an individual renews his/her driver's license.	

Inbound/ Outbound	Use Case	Description	Schema
<b>Exchange: Franchise Tax Board (FTB)</b>			✓
O	FTB COD Debtor Information Record 1	Reports summary debtor information required by the Franchise Tax Board Court-Ordered Debt Collection Program. Used in conjunction with FTB COD Debtor Information Record 2.	FTB COD Debtor Information Record 1
O	FTB COD Debtor Information Record 2	Reports detailed debtor information required by the Franchise Tax Board Court-Ordered Debt Collection Program. Used in conjunction with FTB COD Debtor Information Record 1.	FTB COD Debtor Information Record 2
I	FTB COD Action File	Reports actions taken by the Franchise Tax Board in response to information submitted by the court under the Court Ordered Debt program	FTB COD Action File
I	FTB COD Payment Information Record 1	Reports summary payment information collected by the Franchise Tax Board under the Court Ordered Debt program. Used in conjunction with FTB COD Payment Information Record 2.	FTB COD Payment Information Record 1
I	FTB COD Payment Information Record 2	Reports detailed payment information collected by the Franchise Tax Board under the Court-Ordered Debt Collection Program. Used in conjunction with FTB COD Payment Information Record 1.	FTB COD Payment Information Record 2
O	FTB Interagency Intercept New Process Year Account Information	This record is sent by the court to the Franchise Tax Board as part of the annual transmission of debtor account information to the Franchise Tax Board Interagency Intercept Collection Program.	FTB Interagency Intercept
O	FTB Interagency Intercept Account Modification Request	This record is sent by the court to add, change, or modify Franchise Tax Board Interagency Intercept account records. In contrast to the new process year account information submitted once a year, this information is submitted throughout the calendar year.	
<b>Exchange: Interactive Voice Response/Interactive Web Response (IVR/IWR)</b>			✓
I	Case Listing Request	IVR/IWR application sends a case listing request to the court with enough search information to identify the case(s) and prove that the requester has a right to view the information. This scenario is expected to return an abbreviated list of case information.	IVR Case Inquiry Request
I	Case Information Request	IVR/IWR application makes a request for information about a specific case to the court. This request is expected to return detailed case information	
O	Case Inquiry Response Case Listing	In response to a previous IVR/IWR inquiry, court sends either abbreviated case information or an error message to the IVR/IWR application	IVR Case Inquiry Response
O	Case Inquiry Response Traffic or Criminal Case	In response to a previous IVR/IWR inquiry, court sends either detailed case information or an error message to the IVR/IWR application	
I	Case Extension Request	IVR/IWR application sends case search information and a request for a continuance to the court.	IVR Case Extension Request
I	Traffic School Extension Request	IVR/IWR application sends case search information and request to extend the due date for traffic school completion to the court.	
I	Trial by Written Declaration Request	IVR/IWR application sends case search information and a request for trial by written declaration to the court.	
O	Case Extension Response	In response to a previous IVR/IWR inquiry, court returns either case summary information and a new court appearance date or an error message to the IVR/IWR application.	IVR Case Extension Response
O	Traffic School Extension Response	In response to a previous IVR/IWR inquiry, court returns either case summary information and a new traffic school completion date or an error message to the IVR/IWR application.	

Inbound/ Outbound	Use Case	Description	Schema
O	Trial by Written Declaration Response	In response to a previous IVR/TWR inquiry, court returns case summary and processing message. This will trigger a separate work process for the court, where the court appearance date will be extended and a request for trial by written declaration packet will be sent to the requester.	
I	Case Payment	IVR/TWR application sends case search information and case payment report to the court.	IVR Case Payment
I	Traffic School Payment	IVR/TWR application sends case search information and traffic school payment report (includes citation bail and traffic school administrative fee) to the court.	
O	Case Payment Receipt	In response to a previous IVR/TWR inquiry, court returns either case summary and case payment receipt information or an error message to the IVR/TWR application.	IVR Case Payment Receipt
O	Traffic School Payment Receipt	In response to a previous IVR/TWR inquiry, court returns either case summary, traffic school payment receipt information, and a new traffic school completion due date or an error message to the IVR/TWR application.	
I	Proof of Correction Submission	IVR/TWR application sends case search information, violation count number, and details required to resolve a correctable violation to the court. Examples of correctable data include insurance coverage, driver's license information, and vehicle registration.	IVR Proof of Corrections Submission
I	Traffic School Certificate Submission	IVR/TWR application sends case search information and traffic school completion date to the court.	
O	Proof of Correction Response	In response to a previous IVR/TWR exchange, court returns either confirmation of the receipt of the proof of correction or an error message to the IVR/IWR application.	IVR Proof of Corrections Response
O	Traffic School Certificate Response	In response to a previous IVR/TWR exchange, court returns either confirmation of the receipt of the traffic school certificate or an error message to the IVR/IWR application.	
<b>Exchange: Judgment Order</b>			✓
O	Case Dismissal Order	A set of information sent from the court to its justice partners, informing them that a judgment has been rendered on a case. Used when charges are dismissed by the court.	Judgment Order
O	Not Guilty Judgment Order	This use case represents the exchange between the court and the local criminal justice agencies when the subject is found not guilty on all charges.	
<b>Exchange: Sentence Order</b>			✓
O	Sentence Order	This use case represents the exchange between the court and local criminal justice agencies when the subject has been sentenced.	Sentence Order
<b>Exchange: Register of Actions</b>			✓
O	Public Register of Actions	A collection of court information depicting the specific decisions taken by the court within a specific case. It provides a midlevel overview of the court's proceedings and applies to both open and closed cases. This view only includes information that is available to the public.	Register of Actions
O	Criminal Justice Partners Register of Actions	A collection of court information depicting the specific decisions taken by the court within a specific case. It provides a midlevel overview of the court's proceedings and applies to both open and closed cases. This view includes information that is not available to the public.	
<b>Exchange: Restraining or Protective Order</b>			✓

Inbound/ Outbound	Use Case	Description	Schema
O	New or Modified Criminal Protective Order	A written order from the court to protect a person from physical pain or injury or the threat of pain or injury.	Restraining or Protective Order
O	Terminated Criminal Protective Order	A formal termination of a written order from the court to protect a person from physical pain or injury or the threat of pain or injury.	
I	Request to Register Out-of-State Domestic Violence Restraining Order	A document filed with the court to register a domestic violence restraining order granted by an out-of-state court so that it can be tracked and enforced within the state.	
I	Request for a New or Modified Domestic Violence Restraining Order	A document filed with the court that explains why a domestic violence restraining order should be granted or updated.	
O	New or Modified Domestic Violence Restraining Order	A written order from the court to protect a person from physical pain or injury or the threat of pain or injury.	
O	Terminated Domestic Violence Restraining Order	A formal termination of a written order from the court to protect a person from physical pain or injury or the threat of pain or injury.	
<b>Exchange: Warrants</b>			✓
I	Arrest Warrant Application	The affidavit for arrest warrant filed by justice agencies with the court certifying the probable cause for arresting an individual. The declaration for bench warrant activity has been eliminated from this scenario because it always originates within the court.	Arrest Warrant Application
O	Arrest Warrant	This use case represents the scenario when the court transfers the issued arrest warrant to the law enforcement agency for service or posting to a warrant repository.	Arrest or Bench Warrant
O	Pre-Disposition Solicited Bench Warrant	This use case represents the exchange when the court issues a bench warrant after being informed by its justice partners that a court order has been violated.	
O	Pre-Disposition Unsolicited Bench Warrant	This use case represents the exchange when the court issues a bench warrant unsolicited by its justice partners, such as when the subject fails to appear in court.	
O	Post-Disposition Solicited Bench Warrant	This use case represents the exchange when the court, in a post-disposition setting, issues a bench warrant after being informed by its justice partners that a court order, such as a probation order, has been violated.	
O	Post-Disposition Unsolicited Bench Warrant	This use case represents the exchange when the court, in a post-disposition setting, issues a Bench Warrant unsolicited by its justice partners.	
O	Order to Recall Warrant	This document is issued by the court that a previously issued arrest or bench warrant has been cancelled.	
I	Warrant Certificate of Service	This use case is used by the administrator of the local warrants repository, typically the county sheriff, to report back to the court when a warrant has been served.	Warrant Certificate of Service

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APPENDIX C – JUDICIAL BRANCH FRAMEWORK





Data Integration – Judicial Branch Financial Framework

**Introduction**

To facilitate discussions regarding financial responsibilities between the AOC, the Courts and the Justice Partners, a set of guidelines was established to help ensure that all parties have consistent expectations. These guidelines represent a set of general principles, a mutually understood framework for integration capabilities relative to the court's transition to a new case management system. The term principles was chosen to indicate that we are establishing a basic approach and that special circumstances and events can change the capabilities and willingness of the AOC, the Court, and Justice Partners. The table below may not be inclusive, but it is intended as a "straw model" for the division of financial responsibilities.

<b>PRINCIPLES FOR ESTABLISHING FINANCIAL RESPONSIBILITIES</b>		
<b>Area of Responsibility</b>	<b>Expected Responsible Party</b>	
	<b>One-time Costs</b>	<b>Recurring Costs</b>
<b>Software License, Technology Infrastructure and Support Services</b>		
Integration Services Backbone Activation/TIBCO Software License to support Court/Justice Partner exchanges to/from the California Courts Technology Center including licenses for <b>one</b> Court or Justice Partner technology environment (includes dev, test, staging and production).	AOC	AOC
Professional services to implement TIBCO tools in the Court or Justice Partner technology environment to support Court/Justice Partner exchanges to/from the California Courts Technology Center.	Court (1)	Court (1)
Court or Justice Partner hardware/software environment for the TIBCO tools to support direct exchanges between the Court CMS at the California Courts Technology Center and Justice Partner system(s).	Court (1)	Court (1)
TIBCO Software License to support Justice Partner/Justice Partner exchanges (not directly to/from the Court CMS).	Justice Partner (2)	Justice Partner (2)
Justice Partner implementation of the TIBCO tools to support Justice Partner/Justice Partner exchanges (not directly to/from the Court CMS).	Justice Partner (2)	Justice Partner
Justice Partner hardware/software environment to support Justice Partner/Justice Partner exchanges (not directly to/from the Court CMS).	Justice Partner (2)	Justice Partner (2)
Ongoing costs of California Courts Technology Center hardware/software environments to support Court/Justice Partner exchanges.	Shared as agreed between AOC and Court	Shared as agreed between AOC and Court

CONFIDENTIAL DISCUSSION DRAFT

- (1) Court is responsible but can negotiate cost sharing agreement with county
- (2) Justice Partner must enter into separate contract with TIBCO



<b>PRINCIPLES FOR ESTABLISHING FINANCIAL RESPONSIBILITIES</b>		
<b>Area of Responsibility</b>	<b>Expected Responsible Party</b>	
	<b>One-time Costs</b>	<b>Recurring Costs</b>
California Courts Technology Center help desk support for Justice Partner users involved in Court/Justice Partner exchanges.	N/A	Court (1)
<b>Interface Development</b>		
Interfaces between court CMS and the Integration Services Backbone using the Data Exchange Specifications (DES)	AOC	AOC
Interfaces related changes to CCMS application or additional data requirements that becomes part of the standard CCMS product.	AOC	AOC
Use of interfaces that are available within the current CMS (e.g., DOJ disposition reporting and IVR/Web pay in CCMS V2)	Court (1)	Court (1)
Interface for unique court interfaces. This includes unique exchanges as well additional data that the justice partner needs in the DES-based exchanges	Court (1)	Court (1)
Interfaces between Integration Services Backbone and directly to/from Justice Partner systems.	Justice Partner	Justice Partner
Current interfaces between Justice Partner systems (not directly to/from the Court CMS.)	Justice Partner	Justice Partner
New interfaces between Justice Partner systems to support Court/Justice Partner exchanges.	Justice Partner	Justice Partner

CONFIDENTIAL DISCUSSION DRAFT

- (1) Court is responsible but can negotiate cost sharing agreement with county
- (2) Justice Partner must enter into separate contract with TIBCO

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APPENDIX D – SAMPLE DATA COLLECTION TOOL

INTEGRATION ASSESSMENT  
**SAMPLE DATA COLLECTION TOOL**

The court is in the process of transition planning to move to a new court CMS. The objective of this tool is to provide a mechanism for identifying and capturing all of the current electronic integration capabilities between the court and its state and local justice partners so they can be considered in the transition planning process and plans. Once current integration capabilities are captured in this tool, court personnel will conduct validation sessions to confirm and refine the information provided. For the purposes of assessing the local integration environment, integration is broadly defined to include all types of electronic information sharing between the court and its partners.

- Interfaces and/or extracts that electronically exchange data between the court and a partner system (batch and interactive).
- Common databases into which multiple agencies enter information (e.g., the court and DA applications share a common database).
- Inquiry access by the court to partner application systems.
- Inquiry access privileges by justice partners to the current court CMS.
- Direct data entry by court staff into partner systems.
- Direct data entry by partner staff into the current court CMS.
- Reports run against the current court CMS that are **specialized for a specific partner or group of partners** (i.e., not a standard CMS report used by the court).
- Electronic interfaces between other court applications and the current court CMS (only if the interface would be perpetuated when the new CMS is installed).
- Electronic extracts of court data provided to a shared data repository outside the court and partners' primary applications (e.g., a data warehouse).

The information collected in this tool will be used as the primary source of information for an initial assessment report that describes the current integration environment. The integration capabilities outlined in the initial assessment report are the first step in establishing the scope for work to follow in providing

similar capabilities, where practical and feasible, as the court transitions to a new CMS. It is important to note that the scope of the assessment includes all court case types.

Please note that the guide has been pre-populated with as much information as possible based on prior data-gathering efforts, reviews, and assessments completed (noted in bold italic text). The pre-populated information should be validated for accuracy and corrected, and/or additional information should be provided to help fill in the blanks and make sure there is a comprehensive view of the court's current integration environment with partners. Sample information has been loaded into the tool (in italic text) to provide examples of the type of information that should be provided and assist with completing the tool accurately. In addition, several aspects of documenting the current integration environment are handled differently, including:

- **DMV and DOJ Information** – Integration information for both DMV and DOJ is to only be indicated in its respective section (Section J). It is not necessary to indicate this information in other sections.
- **Court Information Web Sites** – If the public or justice partners access a court Web site for information (e.g., to view calendars or registers of action:
  - » The public/partner inquiry should be listed in Section E.
  - » The extract of court information from the CMS to populate the Web site should be documented in Section C.
- **JBSIS Reporting** – Exchanges of information to the AOC for Judicial Branch Statistical Information System (JBSIS) reporting do not need to be documented, since those capabilities are inherent in the CMS.

#### A. EXCHANGES INTO THE COURT CMS

The objective is to identify all the currently automated/electronic exchanges that provide justice partner data for subsequent integration into the court's current CMS. **Note that this section also applies to a shared database environment where one or more partners share the same system/database with the court.** The tables below outline the information that should be captured about each such exchange. The column headings in each table are described in the subsections below.

1. To-Court Exchange Summary

The following table describes the agency, system, and functional overview of the exchange from a partner system to the court. Definition of the column headings is provided below.

- **ID** – This is simply a unique identifier used to link the table in this subsection with the table in the next subsection. For example, if ID T-1 in the Exchanges Into the Court CMS table is a criminal complaint from the DA, the same ID should be used in the table in subsection A.2 to describe the data contents and rules associated with the exchange.
- **Source Agency and System** – This is the agency (e.g., the DA) and computer system (application name) that supply this information to the court CMS. Information about the sending system should be captured in Section K of the data collection tool.
- **Overview** – This is a description of what the exchange is intended to do from a functional perspective and what action it triggers by the court. For example, it might be criminal complaint information sent to the court by the DA that allows the court to open a case.<sup>1</sup>
- **Volume** – This column is used to estimate the business volume of each exchange. This may be expressed as a daily, weekly, monthly, or yearly estimate.

Exchanges Into the Court CMS			
ID	Source Agency and System	Overview	Volume
T-1	Agency: DA System: DA System Name	<i>This exchange is used by the DA to file complaints in the court CMS. The complaint information is put in a “queue” that the court accesses. Court staff select a record from this queue, which causes complaint information to be brought into the court CMS and opens a new court case.</i>	50 per week.
T-2	Agency: System:		
T-3	Agency: System:		

<sup>1</sup> If the court has multiple systems, please indicate which court application is receiving the system in the Overview column.

Exchanges Into the Court CMS			
ID	Source Agency and System	Overview	Volume
T-4	Agency: System:		
T-5	Agency: System:		
T-6	Agency: System:		

2. To-Court Exchange Method and Content

The table below covers the transfer method for the exchange and describes the data content in each exchange. It is recognized that, at this point, it may not be feasible within the time allowed to specifically identify each and every data element in an exchange, and more comprehensive definition will be required as the transition planning process proceeds beyond the initial assessment and into defining detailed requirements. The column headings are:

- **ID** – This is the unique identifier used to link the preceding table to this table. For example, if T-1 in the Exchanges Into the Court CMS table is a criminal complaint from the DA, the same ID should be used in the table in subsection A.1 to describe the data contents and rules associated with the exchange.
- **Transfer Method and Protocol** – Method describes how the information is electronically provided to the court CMS. This might be interactively through a shared database, via an electronic transaction-based interface, in batch mode, or through a data extract. If the transfer is done through batch, provide detail on the type of medium used for the exchange (e.g., 3480 tape drive, file transfer protocol [FTP], 1.44 Mb diskette). Protocol describes the telecommunications mechanism (e.g., TCP/IP, 3270 LU2, 3770 SNA) used to transfer the information, if applicable.
- **Data Provided** – This is a description of the data provided to the court. Provide as much detail as possible.

Exchanges Into the Court CMS		
ID	Transfer Method and Protocol	Data Provided
T-1	Method: <i>Nightly Batch Extract on the Mainframe</i> Protocol: <i>Not Applicable</i>	<i>Defendant name, identifier, charge, custody, arresting agency/case information.</i>
T-2	Method: Protocol:	
T-3	Method: Protocol:	
T-4	Method: Protocol:	
T-5	Method: Protocol:	
T-6	Method: Protocol:	

B. EXCHANGES FROM THE COURT CMS

The objective in this section is to identify all the currently automated/electronic interfaces that provide data from the court CMS for subsequent integration into a partner application system/database. **Note that this section also applies to a shared database environment where one or more partners share the same system/database with the court.** There are two tables used to describe these information exchanges in the subsections that follow.

1. From-Court Exchange Summary

The table below describes the receiving agency, system, and functional overview of the exchange from the court CMS to a partner system. Definition of the column headings is provided below.

- **ID** – This is simply a unique identifier used to link the table in this subsection with the table in the next subsection. For example, if ID F-1 in the From-Court Exchange Summary table is a criminal complaint from the DA, the same ID should be used in the From-Court Exchange Method and Content table to describe the data contents and rules associated with the exchange.



- **Receiving Agency and System** – This is the agency (e.g., local jail) and computer system (name of the application) that receive this information from the court.
- **Overview** – This is a general description of what the information exchange is intended to do from a functional perspective and what action is triggered at the receiving agency/system. For example, it might be warrant information sent to the sheriff’s local warrants repository.<sup>2</sup>
- **Volume** – This column is used to estimate the business volume of each exchange. This may be expressed as a daily, weekly, monthly, or yearly estimate.

From-Court Exchange Summary			
ID	Receiving Agency and System	Overview	Volume
F-1	Agency: <i>Sheriff/Jail</i> System: <i>Jail Management System (JMS) Name</i>	<i>Upon issuing the court order releasing a defendant from custody on a filed charge and entering that order in the court CMS, the court CMS automatically sends (on a transaction basis) a release notification to the jail system. Upon receipt of the transaction, the jail system prints a release notice on the printer in the intake-and-release section of the jail.</i>	<i>25 per week.</i>
F-2	Agency: System:		
F-3	Agency: System:		
F-4	Agency: System:		
F-5	Agency: System:		
F-6	Agency: System:		

<sup>2</sup> If the court has multiple systems, please indicate the sending system in the Overview column.

2. From-Court Exchange Method and Content

The table below covers the transfer method for the exchange and describes the data content in each exchange. It is recognized that, at this point, it may not be feasible within the time allowed to specifically identify each and every data element in an exchange, and more comprehensive definition will be required as the transition planning process proceeds beyond the initial assessment and into defining detailed requirements. The column headings are as follows:

- **ID** – This is the unique identifier used to link the preceding table to this table. For example, if ID F-1 in the From-Court Exchange Method and Content table is a sentence and disposition order from the court, the same ID should be used in the From-Court Exchange Summary table to describe the data contents and rules associated with the exchange.
- **Transfer Method and Protocol** – Method describes how the information is electronically provided from the court CMS to the partner system. This might be interactively through a shared database, via an electronic interface, in a batch, or through a data extract. If the transfer is done through batch, provide detail on the type of medium used for the exchange (e.g., 3480 tape drive, FTP, 1.44 Mb diskette). Protocol describes the telecommunications protocol (e.g., TCP/IP, 3270 LU2, 3770 SNA) used to transfer information, if applicable.
- **Data Provided** – This is a description of the data elements provided by the court as part of the exchange. Please provide as much detail as possible.

<b>From-Court Exchange Method and Content</b>		
<b>ID</b>	<b>Transfer Method and Protocol</b>	<b>Data Provided</b>
F-1	Method: <i>Transaction-Based Exchange</i> Protocol: <i>TCP/IP</i>	<i>Court case number, defendant name, local person identifier, release order, release conditions.</i>
F-2	Method: Protocol:	
F-3	Method: Protocol:	
F-4	Method: Protocol:	
F-5	Method: Protocol:	

From-Court Exchange Method and Content		
ID	Transfer Method and Protocol	Data Provided
F-6	Method: Protocol:	

### C. INTRA-COURT INFORMATION EXCHANGES

The objective of this section is to identify all the **automated/electronic** interfaces/exchanges that exist between the current court CMS and any **other court systems that will remain in use after the court migrates to its new CMS**. Exchanges with external partners should **not** be listed in this section. The column headings in the table below are as follows:

- **ID** – This is simply a unique identifier for the exchange to facilitate identification. A structure of “I-n” is used for intra-court exchanges.
- **System Name** – This is the name of the current court application system that would provide data to, or receive data from, the new CMS, once implemented.
- **Overview** – This is a general description of what the information exchange is intended to do from a functional perspective and whether the exchange is from the CMS, to the CMS, or bidirectional.
- **Data Provided** – This is the kind of data about the event or the document recording the event that is included in the exchange. Include in this discussion which system is the master/controller for each data type and what the rules are for matching data.
- **Transfer Method and Protocol** – Method describes how the information is electronically provided from the other court system to the current court CMS. This might be interactively or in a batch mode. If the transfer is done through batch, provide detail on the type of medium used for the exchange (e.g., 3480 tape drive, FTP, 1.44 Mb diskette). Protocol describes the telecommunications protocol (e.g., TCP/IP, 3270 LU2, 3770 SNA) used to transfer information, if applicable.
- **Volume and Frequency** – This column is used to estimate the business volume of each exchange and the frequency with which the exchange takes place (e.g., transaction-based, daily batch transfer). Volume may be expressed as a daily, weekly, monthly, or yearly estimate.

<b>ID</b>	<b>System Name</b>	<b>Overview</b>	<b>Data Provided</b>	<b>Transfer Method and Protocol</b>	<b>Volume and Frequency</b>
I-1	<i>In-Court Processing</i>	<i>The in-court processing application allows speed entry of information into a PC-based application. The first part of the application is a download process that extracts case information from the CMS and downloads it to the in-court processing PC application.</i>	<i>Case numbers, defendant, case, calendar information.</i>	Method: <i>Batch</i> Protocol: <i>TCP/IP</i>	<i>Two downloads per day (one by each clerk), approximately 120 case records per upload.</i>
I-2	<i>In-Court Processing</i>	<i>The in-court processing application allows speed entry of information into a PC-based application for subsequent upload into the court CMS. The upload process is initiated by the court users.</i>	<i>Case numbers, defendants, all court actions and decisions stored in the CMS.</i>	Method: <i>Batch</i> Protocol: <i>TCP/IP</i>	<i>Four uploads per day (two by each clerk), approximately 120 case records per upload.</i>
I-3				Method: Protocol:	
I-4				Method: Protocol:	

#### D. DIRECT ENTRY PRIVILEGES

This section is used to identify what systems (other than their own) the court and its partners can enter information into.

##### 1. Justice Partner Entry Into Court System

- **ID** – This is simply a unique identifier for the exchange to facilitate identification. A structure of “JE-n” is used for partner entry.
- **Entering Agency** – This is the agency entering information into the court CMS. Identifying who enters this information (what type of partner staff) is also useful.
- **Data Entered and Purpose** – This is the type of information entered into the court CMS and why the partner enters the information.

- **Court System Entered Into** – This is the name of the court application into which the partner is entering the preceding information.
- **Number of Users** – This is the number of partner users that have entry privileges.

ID	Entering Agency	Data Entered and Purpose	Court System Entered Into	Number of Users
JE-1	DA	<i>When the DA is notified of a charged, in-custody person, he/she enters an arraignment date on the court calendar.</i>	<i>Court CMS Name</i>	<i>10</i>
JE-2				
JE-3				
JE-4				

2. Court Entry Into Justice Partner System.

- **ID** – This is simply a unique identifier for the exchange to facilitate identification. A structure of “CE-n” is used for court entry.
- **Owning Agency** – This is the name of the agency responsible (from a functional point of view) for the system into which the court is entering data. Identifying the type of court staff who enter this information is also useful.
- **Data Entered and Purpose** – This is the type of information entered into the partner systems and why the court enters the information.
- **Partner System Entered Into** – This is the name of the partner application into which the court is entering the preceding information.
- **Number of Users** – This is the number of court users that have entry privileges into the partner system.

ID	Owning Agency	Data Entered and Purpose	Partner System Entered Into	Number of Users
CE-1	<i>Sheriff</i>	<i>Enter new warrants.</i>	<i>Warrants System Name</i>	<i>4</i>
CE-2				
CE-3				
CE-4				
CE-5				

E. INQUIRY BY JUSTICE PARTNERS, INCLUDING THE PUBLIC, INTO THE COURT CMS

The table below should be completed for agencies and/or the public where access is provided to the court’s CMS. **Please note that electronic public access via public Web sites to information extracted from the court CMS** is to be covered in this section. The columns are as follows:

- **ID** – This is simply a unique identifier for the exchange to facilitate identification. A structure of “P-n” is used for partner inquiry into the court CMS.
- **Court System Accessed** – This is the court system (application name) into which the partner queries.
- **Agency Provided Access** – This is the agency that is provided inquiry access to this type of data. Also, indicate if and how public access to court information is provided.
- **Type of Case and Data** – This is the type of cases on which the partner queries. Also, indicate what kind of data the requesting agency is interested in and provided access to (e.g., court calendar information).
- **Method of Inquiry** – This is the kind of hardware/software that the agency uses to inquire into the CMS (e.g., Attachmate emulation software for 3270 SNA access).
- **Number of Users** – This is the number of users that currently have the inquiry capability.
- **Time of Inquiry** – This indicates the times that the partner needs access (e.g., 8 a.m. to 5 p.m., Monday through Friday, or 24 hours per day, 7 days per week).

<b>ID</b>	<b>Court System Accessed</b>	<b>Agency Provided Access</b>	<b>Type of Case and Data</b>	<b>Method of Inquiry</b>	<b>Number of Users</b>	<b>Time of Inquiry</b>
P-1	<i>Court CMS Name</i>	<i>DA</i>	<i>All case types to look at calendar and register of actions.</i>	<i>Attachmate 3270 SNA</i>	<i>15</i>	<i>8 a.m. to 5 p.m., Monday through Friday.</i>
P-2	<i>Court Web Site</i>	<i>Public</i>	<i>All case types to view calendar information</i>	<i>Internet – Web Access</i>	<i>Unknown</i>	<i>24 hours per day, 7 days per week</i>
P-3						

F. SPECIALIZED COURT CMS REPORTS PROVIDED TO JUSTICE PARTNERS

The table below should be completed for reports that are generated from the current court CMS to **specifically to meet the needs of justice partners**. Thus, it is not necessary to indicate any reports that are produced for court personnel use only. The columns are described below.

- **ID** – This is simply a unique identifier for the exchange to facilitate identification. A structure of “R-n” is used for each specialized partner report from the court CMS.
- **Report Name** – This is the name of the report that is created.
- **Agency Provided To** – This is the justice partner, or partners, to which this report is provided.
- **Type of Case and Data** – This is the type of information included in the report.
- **Frequency** – This identifies the frequency with which the report is produced, for example, daily, hourly, or on request.
- **Distribution Method** – This describes the form in which these reports are provided, such as hard copy, published to the court Web site, or posted on a shared file server.

<b>ID</b>	<b>Report Name</b>	<b>Agency Provided To</b>	<b>Type of Case and Data</b>	<b>Frequency</b>	<b>Distribution Method</b>
R-1	<i>Jail Hearing Report</i>	<i>Sheriff/Jail</i>	<i>Criminal cases. Report includes person name and hearing date, time, and location. This report selects all cases for the next day for which a court event is scheduled and the defendant is in custody in the local jail.</i>	<i>Nightly – 5 a.m.</i>	<i>Prescheduled report that prints automatically at the intake-and-release desk in the jail.</i>
R-2					
R-3					

G. OTHER INTEGRATION CAPABILITIES

1. Is a data warehouse of court or combined court and justice partner data in use? If so, please describe its use, what type of and how many users have access (by agency), and who the functional and technical owners of the system are.
2. Describe any other pertinent electronic integration mechanisms in place.
3. Do any justice partners have active projects or plans to replace any of their current applications that are involved in electronic integration capabilities with the court? If so, please describe the projects/plans and their expected timing.
4. Are any integration projects planned or under way that involve the court? If so, please describe them.

H. JUSTICE PARTNER DESKTOP TECHNOLOGY ENVIRONMENT

The objective of this section is to determine what computing capabilities partner users currently have that might impact their ability to access the new court CMS. **You should not describe information about the court's desktop technology environment in this section.**

1. Does each of the partner users described in Sections A through F above utilize PCs to access its and/or the court's applications? If not, identify how many and what types of users do not have PCs.
2. Please describe the types of PCs that partners use. If there are large variances between the types of PCs and/or operating software between groups of partners, please create a section for each group.
  - a. Operating system:
  - b. Processor type:
  - c. Communications software:
  - d. Office tools (e.g., Microsoft Office 2000):



3. Do all partner PCs have Internet access? If not, identify how many and what types of users do not have Internet access.

I. INQUIRY ACCESS BY THE COURT INTO JUSTICE PARTNER SYSTEMS

The table below should be completed by the court, outlining each partner agency’s system/application to which the court has inquiry access. The columns are as follows:

- **ID** – This is simply a unique identifier for the exchange to facilitate identification. A structure of “C-n” is used for court inquiry into the partner system.
- **Partner System Accessed** – This is the partner system (application name) that the court accesses.
- **Agency Owner** – This is the agency that is the functional owner of the application.
- **Type of Data** – This is the type of data that the court queries about.
- **Method of Inquiry** – This is the kind of hardware/software that the court uses to inquire into the partner system (e.g., Attachmate emulation software for 3270 SNA access).
- **Number of Users** – This is the number of users that currently have this inquiry capability.
- **Time of Inquiry** – This indicates the times that the court needs access (e.g., 8 a.m. to 5 p.m., Monday through Friday, or 24 hours per day, 7 days per week).

<b>ID</b>	<b>Partner System Accessed</b>	<b>Agency Owner</b>	<b>Type of Data</b>	<b>Method of Inquiry</b>	<b>Number of Users</b>	<b>Time of Inquiry</b>
C-1	<i>Probation System Name</i>	<i>Probation Department</i>	<i>Probation status, address information.</i>	<i>Attachmate 3270 SNA</i>	<i>5</i>	<i>8 a.m. to 5 p.m., Monday through Friday.</i>
C-2						
C-3						

J. DOJ AND DMV

**This section applies to the court only** and is intended to document structures and format surrounding information exchanges with the California DOJ and DMV. While the court's future DOJ and DMV reporting capabilities will be defined by the capabilities of its new CMS, there may be characteristics of the current technology environment or business practices as they relate to justice partners that will change (e.g., the court has a DMV line that is shared by multiple justice partners, or the court currently does DOJ reporting for the DA when it declines to file charges).

1. DOJ

- a. How are dispositions currently being reported to DOJ?
- b. Is booking and/or prosecution data for the JUS 8715 provided to the court electronically? If so, how is this accomplished?
- c. Does the court handle JUS 8715 reporting for the booking agency and/or the DA? For example, is the court reporting to DOJ on behalf of the DA if the DA declines to charge?
- d. Does the court have CLETS access? If so:
  - How many terminals/PCs have access?
  - What is the access path to CLETS (e.g., through the county datacenter)?
  - What kind of information is accessed and for what purpose?
  - Is the access for inquiry or direct entry purposes?

- e. Does DOJ have access to the court CMS? If so:
  - Is it inquiry access only? If not, what data is DOJ updating?
  - What is DOJ's business purpose for this access?
  - Does the court want to maintain this access with the new CMS?

## 2. DMV

- a. How is abstract reporting to DMV currently done? Identify whether there are different approaches depending on case type (e.g., traffic, misdemeanor, juvenile).
- b. Does the court have inquiry access to DMV records? How is this accomplished?
- c. What kind of communications connection does the court currently have to DMV?
- d. Is the connection currently through the county, a dedicated line for the court only, or through some other method?
- e. Is the connection directly to the DMV mainframe at the Teale datacenter or through the California Health and Human Services Agency (CHHSA) datacenter to DMV?
- f. Does the court automatically integrate priors information from DMV into the current CMS for fine/fee enhancement, etc.? If yes, how is this being done?
- g. Is a third-party service used for reporting to DMV? If so, who is the third party?
- h. Does the court utilize an external service organization for some fine/fee collections and/or exchange information electronically with this service organization? Will this exchange continue after implementation of the new court CMS? If an electronic exchange exists, it should be described in Sections A or B above, as appropriate.

K. APPLICATION ENVIRONMENT

The objective of this section is to define the technical environment of the key applications currently involved in information sharing with the court (excluding DOJ and DMV). The guidelines below should be used in completing this inventory.

This is a list of the current and planned primary applications. **Only complete the table below for systems involved in information sharing or inquiry access with the court.** This includes any systems identified in Sections A through G. **Use the Planned Replacement column if the agency plans to replace the current system. (Note that the Planned Replacement column can be pre-filled for the court.)** While the intent is to only list those environments that support current information sharing, please also list application environments if (1) an integration project is committed and/or currently under way that involves the court and this system or (2) an exchange is desired with a specific system for which DES currently exist.

Agency/Function	Current System	Planned Replacement
Court: Criminal CMS	Name/Product/Version:	Not Needed
Court: Traffic CMS	Name/Product/Version:	Not Needed
Court: Civil/Family CMS	Name/Product/Version:	Not Needed
Court: Juvenile CMS	Name/Product/Version:	Not Needed
Sheriff: JMS	Name/Product/Version: <i>JMS</i> Vendor/Provider: <i>County (Custom-Developed)</i> Operating System: <i>MVS</i> Development Language: <i>COBOL</i> Database Environment: <i>DB2</i> Server Platform: <i>OS390</i> Desktop/Terminal Environment: <i>PCs With Attachmate</i> Application Support Provided by: <i>County IT</i>	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:

Agency/Function	Current System	Planned Replacement
Sheriff: Local Warrants System	Name/Product/Version: <i>AWS</i> Vendor/Provider: <i>Vendor Name</i> Operating System: <i>Microsoft Windows XP</i> Development Language: <i>Visual Basic</i> Database Environment: <i>SQL Server</i> Server Platform: <i>Compaq Model X</i> Desktop/Terminal Environment: <i>PC Pentium IV</i> Application Support Provided by: <i>Vendor Name</i>	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Sheriff: Law Enforcement Records Management System	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Local Police Department (Name): Records Management System	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Local Police Department (Name): Electronic Citation System	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:

Agency/Function	Current System	Planned Replacement
DA: CMS	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Probation: CMS	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Public Defender: CMS	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Health and Human Services: CMS	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:

Agency/Function	Current System	Planned Replacement
Child Support Services: CMS	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Private Collections Agency: Collections System	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
County Revenue and Recovery/Finance: Collections System	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Other (Provide Name):	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:

Agency/Function	Current System	Planned Replacement
Other (Provide Name):	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:
Other (Provide Name):	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Application Support Provided by:	Name/Product/Version: Vendor/Provider: Operating System: Development Language: Database Environment: Server Platform: Desktop/Terminal Environment: Expected Replacement Timing:



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APPENDIX E – PHASE II LOCAL INTEGRATION ASSESSMENT TEMPLATE



# Administrative Office of the Courts

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SUPERIOR COURT OF CALIFORNIA

[COUNTY OF XYZ]

LOCAL INTEGRATION ASSESSMENT

CRIMINAL – PHASE II

[DATE]



ADMINISTRATIVE OFFICE  
OF THE COURTS

---

INFORMATION SERVICES DIVISION



# Administrative Office of the Courts

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SUPERIOR COURT OF CALIFORNIA

[COUNTY OF XYZ]

LOCAL INTEGRATION ASSESSMENT

CRIMINAL – PHASE II

[DATE]



ADMINISTRATIVE OFFICE  
OF THE COURTS

---

INFORMATION SERVICES DIVISION

Judicial Council of California  
Administrative Office of the Courts  
Information Services Division  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

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## INTRODUCTION

## I. Introduction

The Superior Court of California, [County of XYZ], is in the process of migrating to a new criminal and traffic case management system (CMS). The court is currently involved in the assessment phase where information surrounding the current environment is being documented and evaluated by the court to determine the best strategies and approaches to use moving forward into future implementation phases.

This document presents the court's understanding of the current integration environment and factors surrounding this environment. The information included here will be validated with local justice partners and eventually used to determine and document interface priorities and strategies in later documents.

### A. Local Integration Assistance Methodology Overview

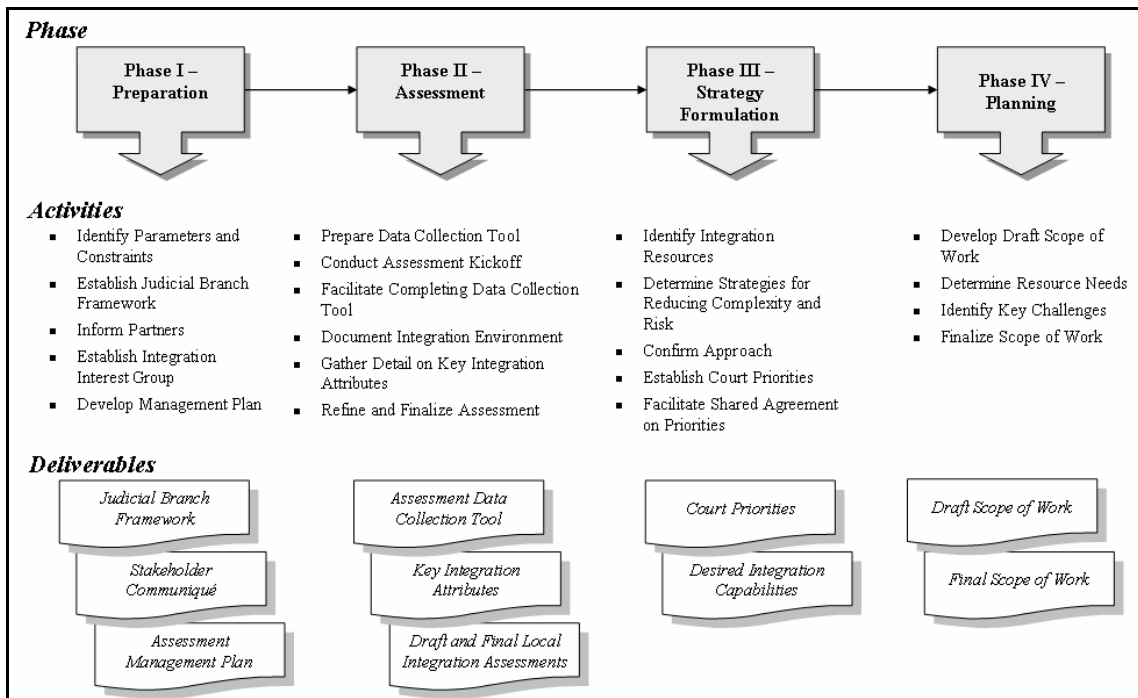
The objective of the local integration assessment methodology (LIAM) is to provide a structured process and approach that will enable judicial branch stakeholders to:

- Provide an approach for organizing the assessment of integration capabilities between justice partners and the court.
- Document the current integration environment between the court and its justice partners.
- Determine a strategy and approach for identifying the integration capabilities to be maintained as part of the court's transition to a new CMS.
- Document a general plan of action for proceeding.

Achieving these objectives will position the court and its justice partners in preparing and planning for maintaining needed integration capabilities for inclusion in an overall CMS transition plan.

The diagram below depicts the LIAM and the documents related to each phase throughout the process. You will note that this document serves as the *Local Integration Assessment* deliverable shown under Phase II in the diagram.





## B. Document Organization

The purpose of this document is to outline the current information exchange environment that is automated with information technology solutions. In order to accomplish this purpose, the document has been divided into the following sections:

- *Section II – Current Environment.* This section provides a summary of the business applications and current level of automation in place within the court. Further details surrounding the integration capabilities are provided in later sections.
- *Section III – Direct Data Entry and Inquiry Capabilities.* This section details the events where manual processes are currently used to make queries or enter data into a software application.
- *Section IV – Automated Data Exchange Capabilities.* The information exchange transactions that are automatically communicated between the court and its justice partners are described in this section. It covers exchanges both to and from the court when interacting with its local justice partners.
- *Section V – State Agency Integration Capabilities.* This section highlights the information exchanges that occur between the court and its state-level justice partners, including the Department of Motor Vehicles (DMV), Department of Justice (DOJ), and Administrative Office of the Courts (AOC).
- *Section VI – Reporting Capabilities.* Another form of justice partner automation is the generation of reports on a schedule or on-demand basis. Automation through standard reports is listed and briefly described in this section.

---

CURRENT ENVIRONMENT

## II. Current Environment

This section presents the court’s understanding of the current applications, tools, and software currently available to the court and its justice partners. Key business applications are discussed, and a summary of integration capabilities that are both available and unavailable is included as well.

### A. Application Environment

[A brief description of the applications as they currently exist, who maintains them and how they interact. Ideally provide a diagram of the application environment in this section as well.]

### B. High-Level Application Inventory

The following table lists the core applications in use within the county that are in some way interconnected with the court: [

Agency/Function	Current System
Court: Criminal CMS	Name/Product/Version: [Application Name] Vendor/Provider: [Vendor] Database Platform: [Operating System] Server Platform: [Server Hardware]
Sheriff: Jail Management System/Records Management System	
Sheriff: Local Warrants System	
District Attorney (DA): Case Management System	
Probation: Case Management System	
Public Defender: Case Management System	
Others?	

### **C. Integration Capabilities Not Provided**

This subsection is included to document interfaces that were identified by the courts during the analysis as desired, but not yet implemented by current information systems. These are items that if automated would make the business processes of either the courts or their partners more efficient and should be taken into consideration when determining future direction and strategy of information exchange within the county.

[Use this section to document any “wish-list” interfaces identified during the creation of this report. Interfaces which are desired but do not exist today.]

■ *Exchange 1 – Description*

■ *Exchange 2 – Description.*

---

DIRECT DATA ENTRY AND INQUIRY CAPABILITIES

### III. Direct Data Entry and Inquiry Capabilities

Often, direct data entry and inquiry is used by a court and its justice partners to exchange information. This is common in low-volume transactions where a particular transaction or information exchange event occurs infrequently enough that direct inquiry is a valid approach.

*The information contained in this section should be used by the **implementation team** to **determine** if the new case management system **will address** court and justice partner direct inquiry and input needs in a satisfactory manner **or take steps to address** the need in a different manner.*

#### A. Justice Partner Inquiry of the Court Systems

This subsection lists and briefly discusses which justice partners currently inquire into the court's portion of the system and for what purposes. For the purpose of this analysis, inquiry differs from integration in that a justice partner would go into a court-specific screen in order to obtain necessary information rather than relying on the court information to be shown directly in their own portion of the application.

ID	Court System Accessed	Agency/Entity Provided Access	Type of Case and Data	Method of Inquiry	Number of Users <sup>1</sup>	Typical Inquiry Frequency
PI-1						
PI-2						

#### B. Court Inquiry of the Justice Partner Systems

This subsection lists and briefly discusses which parts of the justice partners' systems the court has access to, as well as methods for obtaining necessary information. For the purpose of this analysis, inquiry differs from integration in that the court would somehow access a justice partner's screen rather than see the justice partner's information directly on the court-purposed screens.

ID	Agency Accessed	Agency System Access	Type of Data	Method of Inquiry	Number of Users	Time of Frequency
CI-1						
CI-2						

---

<sup>1</sup> Numbers based on IJS user ID count provided to the court by ISD on November 3, 2006.

**C. Justice Partner Data Entry Into the Court Systems**

<b>ID</b>	<b>Entering Agency</b>	<b>Data Entered and Purpose</b>	<b>Court System Entered Into</b>	<b>Number of Users</b>
PE-1				
PE-2				
PE-3				

**D. Court Data Entry Into the Justice Partner Systems**

<b>ID</b>	<b>Entering Agency</b>	<b>Data Entered and Purpose</b>	<b>Court System Entered Into</b>	<b>Number of Users</b>
CE-1				
CE-2				
CE-3				

---

AUTOMATED DATA EXCHANGE CAPABILITIES



#### IV. Automated Data Exchange Capabilities

Automated data exchanges are defined as information exchanges that occur automatically based on triggering or scheduled events. Some counties utilize a single criminal justice information system however the logical exchange of information still occurs based on the business process enforced and where a justice partner begins working with information another justice partner provided. All such information exchanges (whether logical or actual) are listed in this section.

##### A. To-Court Exchanges

Exchanges that are inbound to the court are considered to-court exchanges. The transactions may be either a push or pull, but regardless, the information is provided to the court, thereby reducing or eliminating data entry on the part of court staff. The following table lists these exchanges:

<b>ID<sup>2</sup></b>	<b>Exchange</b>	<b>Logical Exchange Partner</b>
T-01		
T-02		
T-03		
T-04a		

##### B. Exchange Descriptions

- *T-01 – Exchange Name:* Exchange description

##### C. From-Court Exchanges

Exchanges that provide justice partners information from the court's system in an automated fashion are considered from-court exchanges. These exchanges may be either a push or pull; regardless, they provide justice partners with information they require and typically reduce or eliminate data entry required by justice partner staff. The following table lists these exchanges:

---

<sup>2</sup> Please note that ID numbers are no longer sequential, as traffic exchanges were removed from the list and placed into a separate traffic-focused document.

<b>ID<sup>3</sup></b>	<b>Exchange</b>	<b>Logical Exchange Partner</b>
F-01a		
F-01b		
F-02a		
F-02b		

#### **D. Exchange Descriptions**

- *F-01a – Exchange Name:* Exchange description.

#### **E. Intra-Court Exchanges**

In addition to the court’s case management systems exchanging information with justice partners, the systems also share information with other court systems. The following is a list of automated exchanges that occur between court information systems:

<b>ID<sup>4</sup></b>	<b>Exchange</b>	<b>Exchange Direction</b>	<b>Internal System</b>
I-1		Outbound →	
I-2		← Inbound	

#### **F. Exchanges by Conversation**

Another way in which to view the information exchanges is within context of the transaction flow. Each business driver or transaction generally consists of several information exchanges, which are also known as conversations.

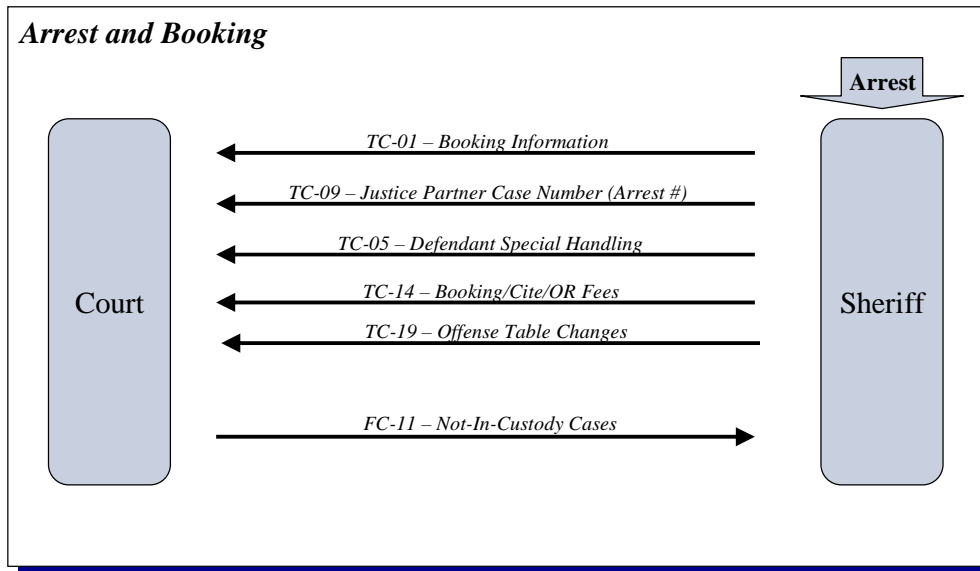
[Create conversation diagrams for each logical conversation that takes place. The purpose of this section is to express the context of current information exchanges to the future system developers. One example is included below.]

- *Arrest and Booking* – Prior to becoming a case within the court’s jurisdiction, some information is passed between law enforcement, the court, and prosecution. The first conversation that takes place surrounds booking where arrest charges and the subject’s core person

<sup>3</sup> Please note that ID numbers are no longer sequential, as traffic exchanges were removed from the list and placed into a separate traffic-focused document.

<sup>4</sup> Please note that ID numbers are no longer sequential, as traffic exchanges were removed from the list and placed into a separate traffic-focused document.

information are shared with the court. If the booking is for an in-custody individual, the booking also automatically schedules the arraignment on the court calendar.



---

STATE AGENCY INTEGRATION CAPABILITIES

V. State Agency Integration Capabilities

In addition to integration that exists at the county and local levels, there is also integration at state level. The purpose of this section is to outline what capabilities for information exchange (either automated or inquiry-based) exist today between the court and its state justice partners.

*The information contained in this section should be used by the **implementation team** to **determine** if the new case management system **will address** statewide integration needs in a satisfactory manner or take steps to address the future needs in a different manner.*

A. DOJ Information Exchange Capabilities

Exchanges From the Court CMS			
ID	Receiving Agency and System	Overview	Volume
DOJ-1	DOJ 8715 Reporting		
DOJ-2	DVROS Restraining Order Updates		

B. DMV Information Exchange Capabilities

Court Inquiry Access

ID	Partner System Accessed	Agency Owner	Type of Data	Method of Inquiry	Number of Users	Time of Inquiry
DMV-1						

Court Data Entry

ID	Owning Agency	Data Entered and Purpose	Partner System Entered Into	Number of Users
DMV-2				

Automated Information Exchanges

ID	Source Agency and System	Overview	Volume
DMV-3			
DMV-4			

**C. Judicial Branch Statistical Information System Integration Capabilities**

The capture and production of Judicial Branch Statistical Information System (JBSIS) statistical reports for all case types are currently automated by IJS and transmitted monthly to the AOC.

---

## REPORTING CAPABILITIES

## VI. Reporting Capabilities

Numerous reports are currently generated by the CMS, today the majority of which rely on court data to be produced. This section provides a list of the reports known at the time of this document's writing, along with the last date the report was requested and the number of times the report is known to have been produced since it was placed on the menu. In addition, there may be other reports that are being produced by the justice partners and are not on the menu, which also must be addressed prior to implementation.

*The information contained in this section should be used by the **implementation team** to **determine** if the new case management system **will address** statewide integration needs in a satisfactory manner **or take steps to address** the future needs in a different manner.*

### A. Criminal Reports

Job/Report Name	Last Date Report Run	Last Department Requesting Report	# Times Requested	Report Is Currently Queued	Notes
Badge List Report	07/09/2006	AG	4382	Y	

### B. Traffic Reports

Job/Report Name	Last Date Report Run	Last Department Requesting Report	# Times Requested	Report Is Currently Queued	Notes
114 PC Charges Filed/Unfiled	01/28/2003	DA	1		



---

APPENDIX F – PHASE II KEY INTEGRATION ATTRIBUTES TEMPLATE

**KEY INTEGRATION ATTRIBUTES**

		Criminal Volume	Traffic Volume	Time-Sensitive	Business Sync Point	Enables Timely Update	Direct Public Benefit	System Expertise Risk	Technical Complexity	Business Rules Complexity	Litigation Risk	Court Benefit	Sheriff Benefit	Public Defender Benefit	DA Benefit
T-1	Criminal and Traffic Complaints	2,500 per Month	8,000 per Month	Y	N	Y	N	M	H	L	L	H	N/A	N/A	M
T-2															
T-3															
T-4															
T-5															
T-6															
F-1	Request for Interpreter Services	TBD	TBD	Y	N	Y	Y	L	L	L	L	M	N/A	N/A	N/A
F-2															
F-3															
F-4															
F-5															
F-6															
F-7															
F-8															
F-9															
F-10															
F-11															

**Factors:**

- Time-Sensitive** – Exchange involves time-critical information from a business or statutory standpoint.
- Business Sync Point** – The exchange of information is critical for keeping two organizations in step with one another.
- Enables Timely Update** – The exchange facilitates data entry faster than it would proceed without the interface.
- Direct Public Benefit** – The information exchange is with the general public or directly benefits the public, versus another agency.
- System Expertise Risk** – The risk that adequate knowledge or documentation of the receiving system or interface no longer exists.
- Technical Complexity** – The level of difficulty involved in the technical aspects of the interface point.
- Business Rules Complexity** – The level of difficulty involved in the business or logic aspects of the interface point.
- Litigation Risk** – The potential for the court or its justice partners to be sued if the interface failed or did not exist.

---

APPENDIX G – PHASE III DESIRED INTEGRATION CAPABILITIES TEMPLATE



# Administrative Office of the Courts

---

SUPERIOR COURT OF CALIFORNIA  
[COUNTY OF XYZ]  
DESIRED INTEGRATION CAPABILITIES

CRIMINAL – PHASE III

[DATE]



ADMINISTRATIVE OFFICE  
OF THE COURTS

---

INFORMATION SERVICES DIVISION



# Administrative Office of the Courts

---

SUPERIOR COURT OF CALIFORNIA

[COUNTY OF XYZ]

DESIRED INTEGRATION CAPABILITIES

CRIMINAL – PHASE III

[DATE]



ADMINISTRATIVE OFFICE  
OF THE COURTS

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INFORMATION SERVICES DIVISION

Judicial Council of California  
Administrative Office of the Courts  
Information Services Division  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

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## INTRODUCTION

## I. Introduction

The Superior Court of California, [County of XYZ] a, is in the process of migrating to a new criminal and traffic case management system (CMS). The court is currently involved in the assessment phase where information surrounding the current environment is being documented and evaluated by the court to determine the best strategies and approaches to use moving forward into future implementation phases.

This document provides a summary of the court's current integration environment, along with the alternatives and strategies desired by the court to address each interface.

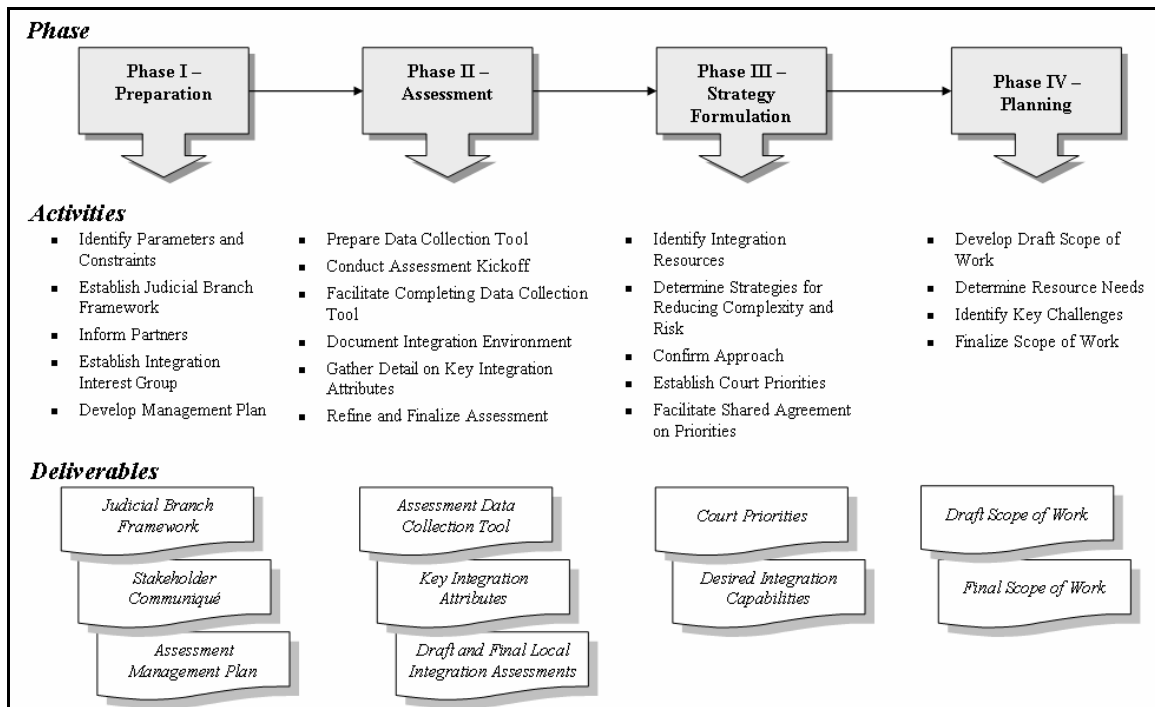
### A. Local Integration Assessment Methodology Overview

The objective of the local integration assessment methodology (LIAM) is to provide a structured process and approach that will enable judicial branch stakeholders to:

- Provide an approach for organizing the assessment of integration capabilities between justice partners and the court.
- Document the current integration environment between the court and its justice partners.
- Determine a strategy and approach for identifying the integration capabilities to be maintained as part of the court's transition to a new CMS.
- Document a general plan of action for proceeding.

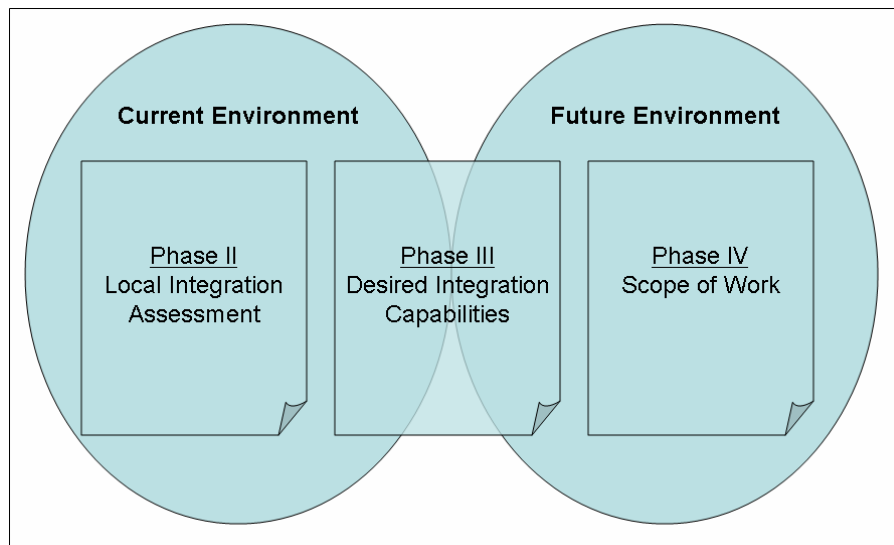
Achieving these objectives will position the court and its justice partners in preparing and planning for maintaining needed integration capabilities for inclusion in an overall CMS transition plan.

The diagram below depicts the LIAM and the documents related to each phase throughout the process. You will note that this document serves as the *Desired Integration Capabilities* deliverable shown in Phase III on the diagram.



## B. Document Purpose and Scope

As depicted in the following diagram, Phase II, and its related document, focuses entirely on the current environment, while Phase IV's scope is limited to the future environment. Phase III is the transition point and includes information from both the current and future environments, as future strategy is defined based on the current situation.



The purpose of this document is to outline the court's strategy to address all current automated information exchanges in the future environment. As such, this document includes information about both the current and future environments. The diagram above shows how each of the LIAM documents has a different focus on content.

### **C. Recommended Reading**

To provide the appropriate context, we recommend that the reader also obtain and review information contained in the following related document:

- *Local Integration Assessment* – A synopsis of the automated information exchanges that currently exist within the county today.

### **D. Document Organization**

This is one of the key documents associated with the strategy formulation phase of the LIAM. In order to best serve its purpose of documenting the court's options and decisions, it has been organized into the following sections:

- *Section II – Current Integration Environment.* A section providing a brief overview of information collected and documented in the *Local Integration Assessment*, including a list of current interfaces.
- *Section III – Strategy Alternatives.* Discussion surrounding the viable integration alternatives available to the court to address the current automated information exchanges upon implementation of the California Case Management System (CCMS).
- *Section IV – Court Strategies.* A section documenting the court's decisions on how to address each of the current interfaces, along with the rationale for why each alternative was selected.
- *Sections V – County Strategies.* A synopsis of what county strategies are known by the court at this point in the project. This includes county-desired routing of transactions and technology expected to be used by the court's justice partners.

---

CURRENT INTEGRATION ENVIRONMENT

## II. Current Integration Environment

A full assessment has been completed as a part of previous phases of the LIAM, with extensive details surrounding the interfaces. This section includes a brief synopsis of that work; however, if further details are desired, please contact the court to obtain the *Local Integration Assessment* document.

### A. Level of Automation

The general level of and approach to automated integration differs somewhat by agency. The following table depicts the means by which the court integrates with its partners and ranks their usage as high (H), medium (M), low (L), and none (N). Items marked as high are the most heavily used methods of interacting between that agency and the court, whereas items marked as low would be lesser-used means of communication.

Agency	Level of Automation		
	Automated Exchanges	Inquiry and Input	Paper Processing
DA	H	H	H
Public Defender	H	H	M
Probation	H	H	M
Sheriff	H	H	L

### B. Automated Data Exchanges

Automated data exchanges are defined as information exchanges that occur automatically based on triggering or scheduled events. The following tables summarize the information exchange transactions that are currently automated within the county:

#### To-Court Exchanges

ID	Touch Point	Logical Exchange Partner
T-01	[This table comes from the Phase II document]	
T-02		
T-03		

### From-Court Exchanges

ID	Touch Point	Logical Exchange Partner
F-01a	[This table comes from the Phase II document]	
F-01b		
F-02a		

### Intra-Court Exchanges

ID <sup>1</sup>	Touch Point	Exchange Direction	Internal System
I-1	[This table comes from the Phase II document]	Outbound →	
I-2		← Inbound	

For further information regarding the above interfaces (including method and frequency of exchange), please refer to the Phase II *Local Interface Assessment* document.

---

<sup>1</sup> Ibid.

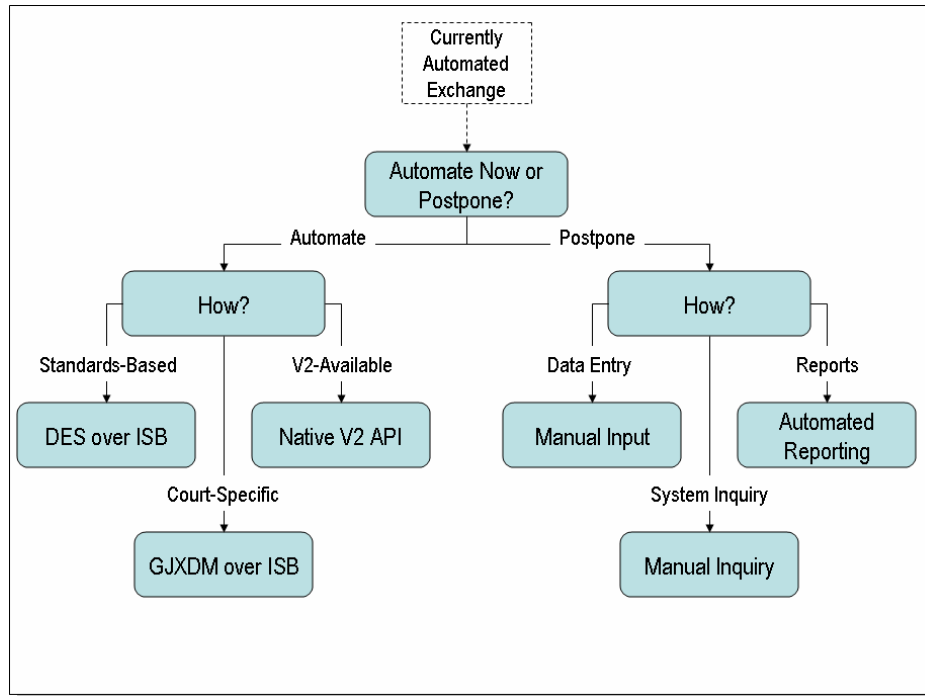
---

STRATEGY ALTERNATIVES



### III. Strategy Alternatives

The current information exchanges can be addressed in one of several ways. The currently automated exchanges can continue to be automated, or they may be addressed in a manual fashion moving forward. Once the court determines to preserve the automated nature of any given exchange, it has several options on how to preserve that automation. The following diagram depicts the decision tree and approach available to the court as alternatives:



As shown in the above diagram, each exchange may be addressed in one of several ways in the future environment. These alternatives in many cases are similar between information exchanges; however, a number of factors affect each exchange, which in turn renders certain alternatives impractical. The court and county have mutually agreed upon several of these factors as documented by the Key Integration Attributes document.

The remainder of this section lists and discusses each of the alternatives depicted above for future automated and manual information exchanges.

#### A. Automated Information Exchange Alternatives

If the court chooses to maintain the current level of automation for any of the exchanges in its environment, the court must then determine how. Three primary alternatives for maintaining automation were reviewed by the court:

**Standards-based.** One of the most desirable alternatives in terms of the project is leveraging Administrative Office of the Courts (AOC) Data Exchange Specifications (DES) through the AOC Integration Services Backbone (ISB). The DES are based on the Global Justice XML Data Model (GJXDM), which has been adopted by countless public safety organizations nationwide. GJXDM is a set of schema definitions or terms for use in sharing information between criminal justice organizations that allows for external organizations to share information with a consistent grammar or terminology.

This alternative is suited best to those transactions that have a high degree of correlation with the DES defined by the AOC and its courts. If it is not a part of the standards (or if the development of a standard is too far into the future), the alternative would instead fall into the court-specific exchanges option.

**Court-specific.** The vision for the ISB allows for courts to use it for both AOC DES, as well as court-specific needs that are not yet included as a part of the DES. This alternative assumes that the court will be leveraging the technology and underlying data exchange tools in the ISB with court-specific events.

This alternative is best suited for addressing high-volume and time-sensitive transactions between the court and its justice partners. This is also best suited for exchanges where well-defined business rules exist and can be implemented by integration tools.

**V2-available.** The future court's future CMS has several automated information-sharing capabilities that have been designed and utilized in prior deployments. If the capabilities exist within the application to share information, and the court approves of the business rules and constraints enforced by the preexisting capabilities, the court may choose to use this V2-available mechanism for automation.

Logically, this alternative is only viable for areas of the CCMS V2 application that have already been automated. As CCMS has not been widely deployed yet, this alternative is available to a relatively small subset of the court's current interface needs.

## **B. Postponed Information Exchange Alternatives**

Should the court choose to address the currently automated information exchange in any way other than retaining the automation, manual information exchange alternatives need to be considered. The following includes the three primary manual information exchange alternatives discussed on this project:

**Data entry.** One possible alternative to address manual data exchanges is to perform manual data entry as required. Depending on the exchange, this could impact the court or one of the justice partners and would result in system information still being captured, yet requiring manual intervention.

This alternative can be laborious and time-consuming; therefore, it should be used sparingly and only when the information being exchanged is infrequent or rare or when the data payload is extremely small.

**System inquiry.** Access to justice partner systems is a common means by which to obtain information that may be beyond the scope of an agency's operational information systems. This alternative provides the court and its justice partners access to each other's information systems for use in obtaining data on demand.

This alternative is practical when information is only needed sporadically by a stakeholder or the recipient does not have the capability to store the desired information in its own information system. For example, access to jail behavior is not always needed by the court and extends well beyond the scope of a typical court CMS; therefore, this would be a likely candidate for system inquiry.

**Reporting.** Reports provide users with a consistent and regular view of certain information. This alternative outlines the situation where one or more reports are developed to address a business need and then provided to users on either an ad hoc or regularly scheduled basis; the primary amount of work is involved in the front end developing a report based on user needs.

This alternative best suits users who need certain information on a regular or scheduled basis. Like system inquiry, it is also ideally suited for scenarios where the information required does not have a logical counterpart in the recipient's system or is otherwise beyond the scope of said system.

### **C. Additional Considerations**

Once the court's desired alternative is selected, additional considerations may be available that slightly modify the desired route. Often, the court's overall integration strategy provides guidance or direction at this point in the process. For example, the court may choose to implement a single-batch information exchange in lieu of many real-time exchanges if the court and county wish to reduce transaction processing costs. If transactional costs are not a concern, the court may make an entirely different decision.

---

COURT STRATEGIES

#### IV. Court Strategies

This section lists out the decisions made by the court with regard to the desired strategies for implementing interfaces between CCMS and its justice partners. The information contained herein serves to document the discussions and decisions the court and its justice partners have made.

It is important to note that while the approaches listed in this section for each interface are those desired by the court, it may be necessary to change to another approach if future planning activity uncovers factors not currently known by the implementation team. As such, this is a living document and will be updated should anything change regarding these interface plans in the future.

##### A. To-Court Exchanges

ID	Automated Data Exchange	Automation Method			Postpone
		Standards-Based Exchange	Court-Specific Exchange	V2-Available Exchange	
T-01	Booking Information	X			
T-02	Indictment and Amendments				X
T-03	<i>Defendant Special Handling</i> [Use rows such as this one to reference exchanges that are addressed elsewhere]	<i>See TC-01</i>			
T-04	Person Contact Details		X		

#### Strategy Rationale

ID	Booking Information	Standards-Based Exchange
T-01	The court wishes to receive booking information from the county so that the court can add person information to the CMS with all relevant person attributes that were collected at booking or otherwise known regarding the subject. The court also needs this information exchange to update the court calendar with arraignment data so that the court knows what individuals are expected in court for arraignment on any given date.	
T-02		
T-03		

##### B. From-Court Exchanges

ID	Automated Data Exchange	Automation Method			Postpone
		Standards-Based Exchange	Court-Specific Exchange	V2-Available Exchange	
F-01a	Warrant Issuance	X			
F-01b		<i>See FC-01a</i>			
F-02a		X			

**Strategy Rationale**

	<b>Warrant Issuance</b>	<b>Standards-Based Exchange</b>
<b>FC-01a</b>	The warrant is a highly time-sensitive and high-volume information exchange. There is a great deal of desire by the court and its justice partners to maintain the automated nature of this exchange. Since there is a DES-defined schema for this exchange, the court expects to leverage the DES in the development of this exchange.	
<b>FC-01b</b>		
<b>FC-02a</b>		

**C. Intra-Court Exchanges**

ID	Automated Data Exchange	Automation Method			Postpone
		Standards-Based Exchange	Court-Specific Exchange	V2-Available Exchange	

**Strategy Rationale**


---

COUNTY STRATEGIES

## V. County Strategies

Just as the court defines strategies for how it will integrate with the outside world, so the county must do the same. This section discusses the conceptual decisions the county has made relating to integration with the court. These decisions will impact the joint court/county functional and technical designs for interfaces that will be developed at a later point in the project.

[Include information surrounding the county's current strategic initiatives and time frames surrounding those initiatives. Any strategy information relevant to the integration efforts are important to note here so that the vendors know what other project priorities exist.]

### A. Desired Agency Routing

[Indicate how the county wishes to route information exchanges. Some will want to have the court interact directly with the justice partner(s) and other counties will want to utilize county-owned middleware instead.]

### B. Desired Integration Technology

[Explain the county's integration infrastructure and key architectural decisions here.]



---

APPENDIX H – PHASE IV SCOPE OF WORK TEMPLATE



# Administrative Office of the Courts

---

SUPERIOR COURT OF CALIFORNIA

[COUNTY OF XYZ]

LOCAL INTEGRATION ASSESSMENT

CRIMINAL – PHASE IV

SCOPE OF WORK

[DATE]



ADMINISTRATIVE OFFICE  
OF THE COURTS

---

INFORMATION SERVICES DIVISION



# Administrative Office of the Courts

---

SUPERIOR COURT OF CALIFORNIA

[COUNTY OF XYZ]

LOCAL INTEGRATION ASSESSMENT

CRIMINAL – PHASE IV

SCOPE OF WORK

[DATE]



ADMINISTRATIVE OFFICE  
OF THE COURTS

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INFORMATION SERVICES DIVISION

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Information Services Division  
455 Golden Gate Avenue  
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## Document Approval

We concur that this document is an accurate reflection of the information-sharing environment and represents the integration scope of work desired for deployment of the court’s new case management system (CMS) and integration capabilities. We also acknowledged that further analysis is required, once a development project is formally initiated by the court and county/justice partners, to further evaluate the data content and determine if the California Case Management System (CCMS) V2 and justice partner systems can feasibly provide the desired capabilities.

*Approver*

**Superior Court**

---

Date

*Acknowledgement*

**AOC**

---

Date

[Add more approval agencies if the county seems agreeable to it. If the county relationships are strained however, it is unlikely the document will ever be “approved” by the justice partners, so they will likely not be involved in the sign-off process. Work with the court to determine who the proper approvers should be.]

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Appendix A – Agency Contacts

Appendix B – Legacy Data Entry Screens

---

## INTRODUCTION



## I. Introduction

The Superior Court of California, [County of XYZ] (Superior Court) is in the process of migrating to a new case management system (CMS). The Superior Court is currently assessing and documenting its current environment in order to determine the best strategies and approaches to use moving forward into future implementation phases.

This document represents the completion of the local integration assessment process and encapsulates the Superior Court's key decisions and choices, along with providing further details regarding how the Superior Court expects its information exchange to look after implementation of these decisions.

### A. Document Purpose

The goal of this document is to provide integration and implementation vendors associated with the Superior Court integration effort sufficient information to size and estimate the work effort required to integrate the California Case Management System (CCMS) V2 within the county. The information contained here focuses only on what the court expects of the implementation vendors and leaves the remainder of the previous decision-making information in other documents (see subsection I.C –Recommended Reading below).

This document is associated only with the interfaces required of criminal case types. A separate document has been drafted to address traffic-required information exchanges, which may apply to criminal case types as well.

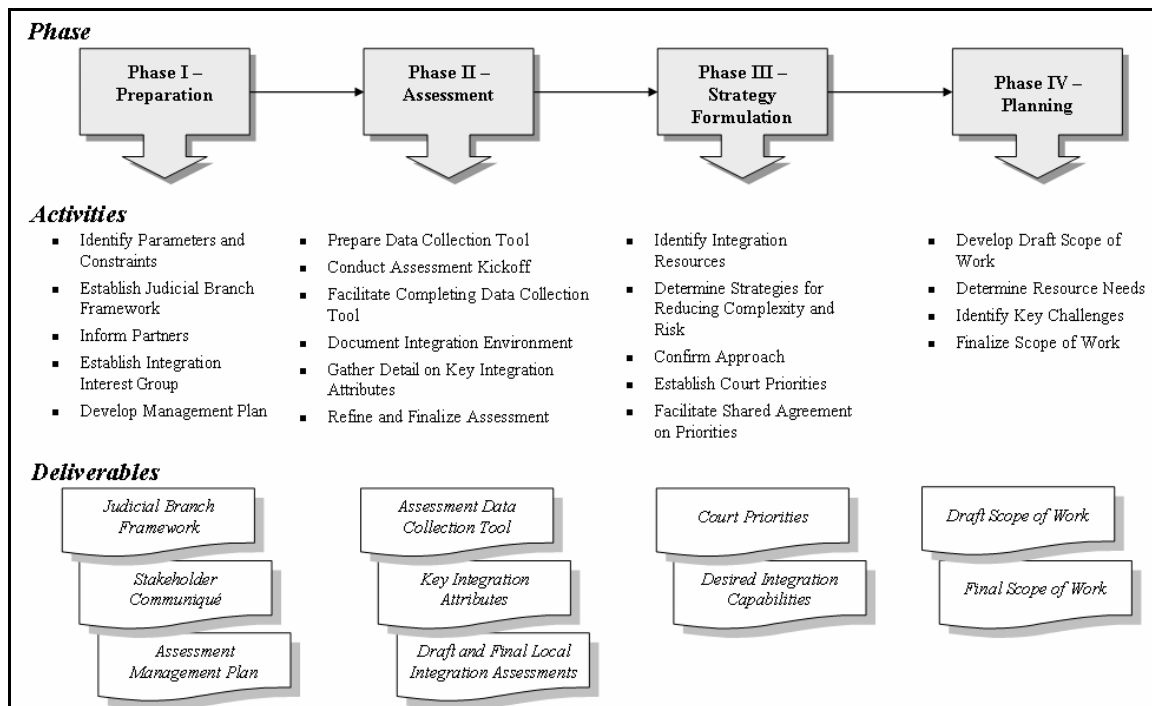
### B. Local Integration Assessment Methodology Overview

The objective of the local integration assessment methodology (LIAM) is to provide a structured process and approach that will enable judicial branch stakeholders to:

- Provide an approach for organizing the assessment of integration capabilities between justice partners and the court.
- Document the current integration environment between the court and its justice partners.
- Determine a strategy and approach for identifying the integration capabilities to be maintained as part of the court's transition to a new CMS.
- Document a general plan of action for proceeding.

Achieving these objectives will position the court and its justice partners in preparing and planning for maintaining needed integration capabilities for inclusion in an overall CMS transition plan.

The diagram below depicts the LIAM and the documents related to each phase throughout the process. You will note that this document serves as the Scope of Work document shown in Phase IV on the diagram.



While the above process represents the general methodology, each application of this methodology has been tailored to the county and court’s situation; therefore, not all the documents listed above have been produced. Many documents are merged with others in order to expedite the assessment and planning process.

### C. Recommended Reading

To provide the appropriate context to the reader, we recommend that the reader also obtain and review information contained in the following related documents:

- *Local Integration Assessment* – A synopsis of the automated information exchanges that currently exist within the county today. This is also where all references to current manual system inquiry, input, and reporting are documented.
- *Desired Integration Capabilities* – A document outlining the court’s desired strategy to address current automated interfaces. Included in this document are the Key Integration Attributes to provide additional prioritization criteria and rationale.

Please notify one of the agency contacts included in Appendix A to obtain the most current copies of this documentation.

---

## FUTURE INTERFACES

## II. Future Interfaces

The ultimate purpose of the LIAM process is to establish strategies for addressing the current information exchanges and to communicate automated interface needs clearly to implementation partners and vendors. Criminal information exchanges that are currently automated in nature and the court expects to maintain in their currently automated form are considered interface needs. The following table lists the interfaces required by the court as a part of its CMS migration:

ID	Interface	Exchange Direction	Justice Partner
	[List comes from the Phase III document]	← To Court	
		From Court →	

Many more information exchanges exist today in addition to those listed above; however, in the process of establishing information exchange strategies, the court determined many of the current exchanges were redundant and could be addressed by fewer and more comprehensive exchanges rather than perpetuating numerous discrete exchanges. For a complete list of current information exchanges and how they relate to the above interface list, please refer to the *Phase III Desired Integration Capabilities* document.

### A. Desired Integration Approach

The court has decided to adopt the Administrative Office of the Courts' (AOC's) Integration Services Backbone (ISB), which is based predominantly on TIBCO Software Inc.'s tool set, exchanging standards-based or court-specific XML. The AOC has defined standards-based XML as a series of schemas known as the Data Exchange Specifications (DES) for many of the most common court-related information exchanges. Since these are not all-inclusive of every information exchange possible, not every needed interface in the county can be associated with a current AOC

DES, and therefore some court-specific schemas will need to be developed. The following table lists the individual exchanges and how the court plans for each to be addressed:

ID	Automated Data Exchange	Desired Integration Approach	
		DES-Based Exchange <sup>1</sup>	Court-Specific Exchange
T-01	Exchange 1	DES Schema A	-
T-02	Exchange 2	-	New
	[One row for each future interface denoting what schema is expected to be used.]		

As detailed data mapping is not a part of the LIAM process, data needs may exist that are not included in the DES schemas. It is expected that these gaps will be filled by the implementation team as they are identified. The implementation vendor is expected to reexamine the above schema associations further during the detailed design. It is also important to note that each future interface is expected to include a response document to provide the information stakeholders with confirmation of message delivery.

## B. Exchange Business Objects

The court assumes the future interfaces will share certain categories of information. The following table lists what types of data the court would expect to share through these exchanges:

ID	Automated Data Exchange	Business Objects
<b>To-Court Exchanges</b>		
T-01	Exchange 1	<ul style="list-style-type: none"> <li>■ Defendant information.</li> <li>■ Arrest information.</li> <li>■ Arraignment calendar information.</li> </ul>
T-02	Bail Posted	<ul style="list-style-type: none"> <li>■ Nature of collateral (cash or bond).</li> <li>■ Amount of collateral.</li> <li>■ Defendant information.</li> <li>■ Arraignment calendar information.</li> </ul>
		<ul style="list-style-type: none"> <li>■</li> </ul>

<sup>1</sup> Exchanges compared at an exchange level, not at a data element level. It is unclear if data gaps exist until later phases of the implementation. The implementation team is expected to be responsible for addressing data element gaps as they are identified..

ID	Automated Data Exchange	Business Objects
<b>From-Court Exchanges</b>		
F-01a	Exchange 3	<ul style="list-style-type: none"> <li>■ Defendant information.</li> <li>■ Warrant information.</li> <li>■ Charge information.</li> </ul>
		<ul style="list-style-type: none"> <li>■</li> </ul>

Specific data element needs are expected to be defined during the requirements/detailed design process; however, for further details on each of the business objects please use the current screens, included in Appendix B as reference.

---

FUTURE BUSINESS CONSTRAINTS

### III. Future Business Constraints

Details on each of the future interfaces are included in this section, along with historical volumes, agencies associated, triggers, results, high-level business rules, and high-level process flows. This section is provided *to simply provide business context* surrounding the court's future automated interfaces. It should not be assumed that the information contained here is in sufficient detail for development. It is expected that the integration vendor will document the business processes, rules, and exceptions in much greater detail during the detailed design process.

Each of the interfaces is depicted using a flow chart, including typical use cases and exceptions. These process flows have been developed prior to the implementation of CCMS; therefore, they should be considered preliminary and subject to change.

#### A. Key Assumptions

The following assumptions are being made by the court as a part of this exercise and are implied throughout the exchange details:

- *Key Assumption 1* – Description of the assumed condition.

[Include all critical assumptions being made regarding the future environment. For example, the county expects to use its own middleware package, etc.]

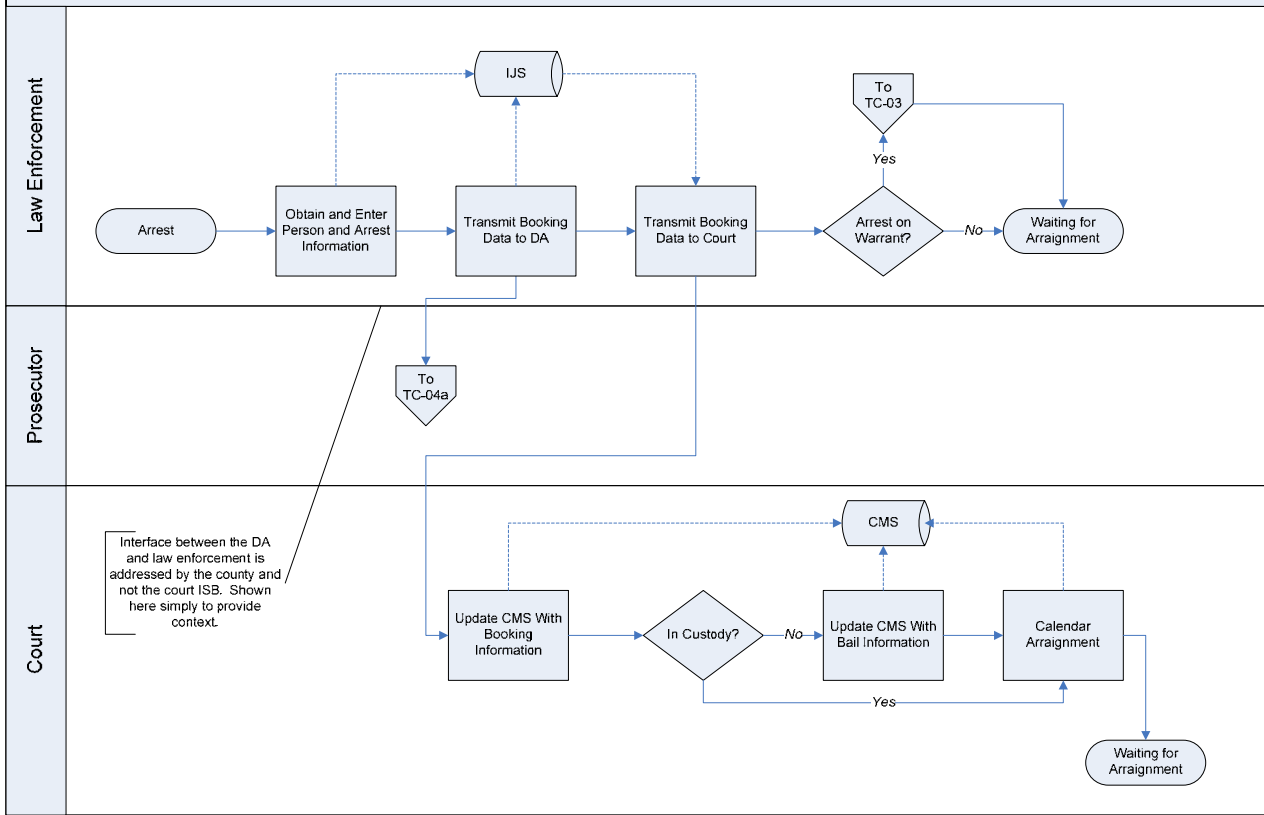


**B. Booking Information**

<b>T-01</b>		<b>Booking Information</b>	
<b>Exchange Overview</b>			
[Description of the exchange (likely the same as what is in the Phase II document)]			
<b>From Agency</b>		<b>To Agency</b>	
[From Agency]		[To Agency]	
<b>From System</b>		<b>To System</b>	
[From System]		[To System]	
<b>Historical Frequency</b>	<b>Historical Method</b>	<b>Future Frequency</b>	<b>Future Method</b>
[Real time or batch]	[Shared system, flat file, xml, Web services, etc.]	[Real time or Batch]	[Shared system, flat file, xml, Web services, etc.]
<b>Historical Volume</b>		<b>Associated DES Schema</b>	
[X per Month/Week/Year]		[DES Schema Related]	
<b>Triggering Event</b>		<b>Result</b>	
Person Arrested		Person Information Known by Court Arrest Information Is Known by Court Arraignment Is Scheduled on Court Calendar	
<b>High-Level Business Rules</b>			
■ Applies to all subjects booked into custody with criminal charges (felonies or misdemeanors).			

Process Flow

TC-01 Booking Information



---

FUTURE ENVIRONMENT

#### IV. Future Environment

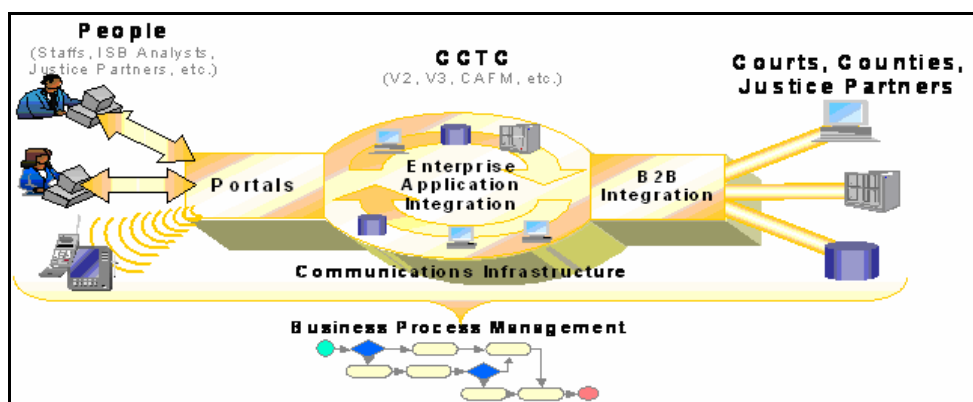
This section outlines what the court and county expect to be the future application environment in which the information exchanges will take place. The court and county integration strategies steer most architectural decisions on the project, so they should be well understood by the implementation vendors. The current network infrastructure and application inventory also play an integral part in the interface development life cycle as the vendors consider end-to-end test coverage, regardless of the integration technology used by either party.

##### A. Judicial Branch Integration Strategy

The judicial branch in California has adopted an integration platform known as the ISB, which is powered by TIBCO's middleware suite of products and leverages a series of DES or XML standards. The ISB is the technology infrastructure through which the XML standards are implemented.

**DES.** The DES are a series of schemas that have been developed by the courts throughout California to model interactions between them and their justice partners based on the most common best practices throughout the state. It is the desire of the judicial branch that these standards be leveraged when communicating between the courts and their local justice partners so as to reduce integration costs incurred as the ISB is implemented at each court.

**ISB Architecture.** The TIBCO integration tool set has been selected as the primary integration platform to provide the overall infrastructure for implementing the ISB project. The following diagram shows how the overall recommended implementation approach would be using the TIBCO solution:



The judicial branch has established the ISB as the single integration layer between the branch statewide, regardless of the court application or the justice partner requiring access. In this way, the architecture is built to scale across multiple applications, environments, courts, and justice partners. All environments are expected to be housed at the California Courts Technology Center (CCTC), as depicted in the above diagram.

**B. County Integration Strategy**

[An explanation of the court’s approach to integration including technologies, projects and timelines.]

**C. Network Infrastructure**

[Description of the network topology in place and ideally a topology diagram.]

**D. Application Inventory**

The following table lists the core applications in use within the county that are in some way interconnected with the court:

[Obtain this table from the Phase II document]

Agency/Function	Current System
Court: Criminal CMS	
Court: Traffic CMS	
Probation: CMS	

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APPENDIX A – AGENCY CONTACTS

## Appendix A – Agency Contacts

This appendix identifies the agencies involved with the Superior Court’s CCMS V2 integration effort. The table below identifies the agency and provides contact information for the individual responsible for various aspects of the project.

<b>Agency</b>	<b>Contact</b>	<b>Responsibility</b>
Superior Court of California, San Luis Obispo	[Contact including e-mail address and telephone number]	
AOC	[Contact including e-mail address and telephone number]	
County ISD	[Contact including e-mail address and telephone number]	

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APPENDIX B – LEGACY DATA ENTRY SCREENS



## Appendix B – Legacy Data Entry Screens

For a point of reference and to provide the reader with an understanding of the current information-sharing environment, this appendix provides screenshots of the legacy system in use within the county. The reader can use the screens provided here as an indication of the data fields currently contained in the county system and as a starting point for the elements of each exchange, which will be defined during the detailed design. For reference, each section includes a table listing expected associations between the legacy screen and the future interfaces.

Please note that while the screens provide most of the directly editable fields and attributes for defendants and cases, a number of non-visible elements exist in the system and cannot be seen through screenshots. These unseen elements should be identified during the requirements/detailed design phase.

### c0235A – Add New Defendant

This screen allows a user to enter a new subject or defendant into the system.

dtterm

Window Edit Options Help

Defendant Person Information Criminal Justice System

Last Name: TESTER Gen: \_\_\_  
 First : LIAM Middle: \_\_\_  
 DOB: \_\_\_ / \_\_\_ / \_\_\_ SSN: \_\_\_ - \_\_\_ - \_\_\_ Driver Lic: \_\_\_  
 Sex: \_\_\_ Race: \_\_\_ Hair: \_\_\_ Eyes: \_\_\_ Height: \_\_\_ ' \_\_\_ " Weight: \_\_\_  
 PO Prv PO Inv PO Bail/OR /  
 Individual/Corporation: I

Superior Numbers DA Pub Def Agency

(1-Financial) (2-Restraining Orders) (8-Charge)  
 (9-Address/Phone) (18-Jail/Work) (22-Register List)

c0235A Overwrite Update ckrzywicz jdev\_red TEST Mon Oct 23 11:04 2006

Related Future Interfaces	
ID	Interface Name
TC-01	Booking Information
TC-02	Bail Posted
TC-03	Warrant Served/Cleared
TC-04a	Complaint and Amendments
TC-04b	Information and Amendments
FC-01a	Warrant Issuance
FC-02a	Warrant Recall/Revocation
FC-03	Court Calendar
FC-04a	Hearing Minutes and Orders
FC-05b	Sentence
FC-08	Sentence Modifications