



## Judicial Council of California · Administrative Office of the Courts

455 Golden Gate Avenue · San Francisco, California 94102-3688

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# REPORT TO THE JUDICIAL COUNCIL

For business meeting on October 28, 2011

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| Title  | Agenda Item Type   |
| California Court Case Management System:<br>Deployment Alternatives  | Action Required  |
| Rules, Forms, Standards, or Statutes Affected  | Effective Date   |
| None   | October 28, 2011   |
| Recommended by   | Date of Report   |
| CCMS Executive Committee<br>Hon. Terence L. Bruiniers, Chair<br>CCMS Internal Committee<br>Hon. James E. Herman, Chair | October 20, 2011   |
|  | Contact  |
|  | Jessica Craven, 818-558-3103<br><a href="mailto:jessica.craven@jud.ca.gov">jessica.craven@jud.ca.gov</a> |

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### Executive Summary

Development of CCMS has now been successfully completed, and CCMS has been confirmed to be a viable and valuable judicial branch asset. The CCMS Executive Committee and the CCMS Internal Committee chairs will review options for moving forward with CCMS within the budget constraints that the Judicial Council decided at its July 22, 2011, meeting. The educational presentation on Thursday, October 27, will include a project update, a discussion of the independent reviews presented at the September 9, 2011, meeting, and details of alternative deployment strategies, including potential grant funding. The CCMS Executive Committee and the CCMS Internal Committee recommend that the Judicial Council, as executive sponsor of CCMS, approve deployment of CCMS to at least two early adopter courts. The business meeting on Friday, October 28, provides the opportunity for the Judicial Council to set the direction for the current fiscal year within the funding limitations decided by the council at the July 22, 2011, meeting. That direction may include approval of a collaborative approach for early adopter deployment, including approval of a letter of intent concerning grant funding opportunities.

## **Recommendation**

The CCMS Executive and Internal Committees, after reviewing a number of options and considering the current severe budget constraints facing our judicial branch, recommend that the Judicial Council, as executive sponsor of CCMS:

1. Approve CCMS deployment to at least two early adopter courts in San Luis Obispo and Ventura Counties. A modified plan takes into account the failing legacy system of the San Luis Obispo County Superior Court and the expertise of the Ventura County Superior Court with the interim civil, small claims, probate, and mental health case management system (V3).

## **Previous Council Action**

In December 2010, the Executive and Planning Committee approved the current CCMS governance model, which was developed to provide broader participation by the judicial branch, State Bar of California, and justice system partners. The council has assumed the role of CCMS executive sponsor and has designated the Administrative Director of the Courts as the lead executive for the CCMS project.

Project status updates were provided at the February 25, 2011, April 29, 2011, June 24, 2011, July 22, 2011 and August 26, 2011, Judicial Council meetings. The Judicial Council decided on July 22, 2011: “The CCMS Internal Committee and the CCMS Executive Committee will return to the Judicial Council at its October 2011 meeting to review all options for moving forward with CCMS within the new budget constraints.” On September 9, 2011, the independent evaluation of the development vendor’s process for developing CCMS and a code quality review were presented to the Judicial Council.

## **Rationale for Recommendation**

Development of CCMS has now been successfully completed, and CCMS has been confirmed to be a viable and valuable judicial branch asset through the independent reviews presented to the council on September 9 of this year. (For more about CCMS, see Description of California Court Case Management System.) The approach recommended allows for the early adopter courts to be deployed based on the current budget and meets two critical branch criteria: (1) allows the judicial branch to validate the application in a production environment during the warranty period, and (2) facilitates the provision by the early adopter courts of a necessary proof of concept before deployment to additional courts, particularly those with urgent case management needs. We believe that the current recommendation is the best method of achieving these goals based with available funding.

## Comments, Alternatives Considered, and Policy Implications

The following major factors were taken into account as alternatives were considered:

- Retention of knowledgeable project resources;
- CCMS deployment within the approved allocation;
- Resources and needs of the early adopter courts;
- Potential impact to local justice partners if CCMS were not deployed; and
- Value that an early adopter court with V3 experience can provide in a CCMS implementation.

The CCMS deployment team presented two deployment alternatives at the joint CCMS Executive Committee and CCMS Internal Committee meeting on September 23, 2011. Committee members were briefed on the budgetary considerations and risks for each alternative. Each of the deployment strategies will allow activities to move forward within the approved allocation. Each of these alternative strategies also would complete implementation of CCMS in the Superior Courts of San Luis Obispo and Ventura Counties while leveraging existing infrastructure, staff, and processes and would result in deployment of all case types by fiscal year 2013–2014.

***Alternative 1.*** In this alternative, the goal is to deploy to the court with immediate needs first. Phase one would include implementation of all case types in San Luis Obispo based on the court's critical need for a case management system. This would be completed in October 2013. Phase two would include implementation of all case types in Ventura with projected completion in January 2014.

***Alternative 2.*** In this alternative, the focus is on deployment of CCMS as quickly as possible. First upgrading the V3 case types (civil, small claims, probate, and mental health) in Ventura presents the best opportunity for an expedited deployment. Phase one would include implementation of current V3 case types in Ventura, followed immediately by V3 case types in San Luis Obispo. This would be completed by December 2012. Deployment of additional case types at both courts would occur in phase two with projected completion in May 2014.

The committees expressed a preference for the second alternative due to the earlier cutover for a court on the civil (V3) case types but asked the deployment team to consider a further scenario with Ventura only going live on the V3 case types at this time. This alternative will allow the branch to take greater advantage of the warranty period.

The CCMS deployment team is in the process of further refining the second alternative at the request of the governance committees to incorporate the feedback from both early adopter courts. This revised alternative will be completed for presentation to the Judicial Council at the October 28th meeting.

The revised deployment alternative will merge the benefits of the two original proposals to provide both early adopter courts with their preferred implementation timeline while also delivering administrative efficiencies through a single production-ready product release. Ventura court leadership articulated a preference for an express deployment of CCMS for their current V3 case types along with an emphasis on electronic filing, imaging, and document management implementations to deliver the fastest return on investment for their court. San Luis Obispo court leadership articulated an urgent need to replace current criminal and traffic case management systems and meet local justice partner commitments. This revised alternative will provide for a cutover of all current V3 case types to CCMS at Ventura in February of 2013 as well as implementation of all case types at San Luis Obispo by October of 2013.

***Additional alternative.*** We have explored sources for outside funding that would allow us to expand the scope of early adopter deployment and to leverage our limited resources. This would offer an additional alternative and will require executive session discussion with the council.

***“Do nothing” alternative.*** Courts with failing case management systems will not be able to utilize this branch asset. According to the survey responses in the cost-benefit analysis performed by Grant Thornton LLP, at least 47 of our 58 trial courts will need to replace or upgrade their existing case management systems in the next six years at a cost of \$342.9 million<sup>1</sup>, with four courts indicating an immediate need for a replacement system. Furthermore, the judicial branch would not be able to take advantage of the warranty period.

### **Future directions**

The CCMS Executive Committee and CCMS Internal Committee anticipate taking the following actions<sup>1</sup> as part of the CCMS strategy:

- Deploy CCMS to early adopter courts during the warranty period;
- Develop a strategy among V3 courts to provide less costly support, using a combination of CCMS Program Management Office (PMO) staff and local court resources;
- Reduce costs by upgrading and eliminating Fresno’s V2 system;
- Develop a post-early adopter deployment strategy, focusing first on assistance to courts with failing case management systems;
- Encourage collaborative efforts among trial courts in developing common deployment configurations;
- Leverage local court technology and financial resources where feasible; and
- Continue statewide deployment to the remaining 56 courts as funding is available, with priority given to courts with the most urgent needs, and those that provide the greatest cost-benefit to the branch.

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<sup>1</sup> California Court Case Management System Cost Benefit Analysis (prepared by Grant Thornton)  
[http://www.courts.ca.gov/partners/documents/CCMS\\_costbenefitanalysis\\_20110222.pdf](http://www.courts.ca.gov/partners/documents/CCMS_costbenefitanalysis_20110222.pdf)

### **Governance issues**

The new CCMS governance structure has provided for much broader participation in branch oversight of this vital project. At the same time, the roles and responsibilities of some committees now overlap to some degree. As we now transition from product development to implementation and deployment, it is an appropriate time to consider opportunities for improvement. We will be looking at these issues and presenting suggestions for restructuring the committees in the near future.

### **Implementation Requirements, Costs, and Operational Impacts**

Information on implementation requirements, costs, and operational impacts for the new alternative is provided in the attached report CCMS Deployment Alternatives.

### **Relevant Strategic Plan Goals and Operational Plan Objectives**

This project directly supports Goal VI, Branchwide Infrastructure for Service Excellence, consistent with the strategic plan of California's judicial branch of government.

CCMS also supports the following related strategic goals of the judicial branch:

- Goal I, Access, Fairness, and Diversity;
- Goal III, Modernization of Management and Administration;
- Goal IV, Quality of Justice and Service to the Public

The California Court Case Management System (CCMS) is an integrated case management system that will support courts of all sizes. It is an essential component of the judicial branch's strategic plan for technology improvement and is now a valuable judicial branch asset. CCMS will improve public safety and the quality of justice rendered in California's trial courts by providing the public, attorneys, judges, and litigants with access to case information.

### **Attachments**

1. Description of California Court Case Management System, at page 6
2. CCMS Deployment Alternatives, at page 7

## **Description of California Court Case Management System (CCMS)**

The California Court Case Management System (CCMS) is an integrated case management system that will support courts of all sizes. It is an essential component of the judicial branch's strategic plan for technology improvement and is now a valuable judicial branch asset. After full deployment to at least one early adopter court, CCMS will become available to courts with urgent case management needs. According to the survey responses in the cost-benefit analysis performed by Grant Thornton LLP, at least 47 of our 58 trial courts will need to replace or upgrade their existing case management systems in the next six years at a cost of \$342.9 million,<sup>2</sup> with four courts indicating an immediate need for a replacement system.

CCMS functionality, which includes electronic filing, integration with justice partners, electronic calendars, self-service case inquiries, and self-service payments, will revolutionize the way courts do business. The system will improve the processing of cases and transform court operations with a branchwide electronic document management system. The transition from paper to electronic processing of documents will result in cost and operational efficiencies across all courts. Additional features of CCMS include statewide statistical reporting and court interpreter and court reporter scheduling.

CCMS will improve public safety and the quality of justice rendered in California's trial courts by providing the public, attorneys, judges, and litigants with access to case information. State agencies that partner with the courts, including the Department of Justice, Department of Social Services, Department of Child Support Services, Department of Motor Vehicles, and the California Highway Patrol, will be able to interact with a single case management system to improve efficiency, eliminate redundant data entry, avoid data entry errors, and reduce system costs. Through Internet and electronic filing, the public and attorneys will have more options for conducting court business.

CCMS supports the following goals:

- To provide a system that meets any court's needs regardless of size or demographics;
- To efficiently manage future enhancements, including those that arise from legislative changes;
- To encourage adoption of common procedures and practices that will allow courts to use a standardized solutions with minimum customization;
- To facilitate best practices in all case categories, based on contemporary information technology architecture, and technology;
- To create venue transparency, allowing all judicial officers access to required information, irrespective of jurisdiction; and
- To provide the opportunity to implement shared services through a single system.

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<sup>2</sup> California Court Case Management System Cost Benefit Analysis (prepared by Grant Thornton)  
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