



Judicial Council of California · Administrative Office of the Courts

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

www.courts.ca.gov

REPORT TO THE JUDICIAL COUNCIL

For business meeting on: December 14, 2012

Title	Agenda Item Type
Judicial Branch Report to the Legislature: Status of the California Court Case Management System and Phoenix Program, 2012	Action Required
	Effective Date
	December 14, 2012
Rules, Forms, Standards, or Statutes Affected	Date of Report
N/A	December 7, 2012
Recommended by	Contact
Administrative Office of the Courts	Zlatko Theodorovic, 916-263-1397
Steven Jahr	zlatko.theodorovic@jud.ca.gov
Administrative Director of the Courts	

Executive Summary

The Administrative Office of the Courts (AOC) recommends that the Judicial Council approve the *Status of the California Court Case Management System and the Phoenix Program 2012*, as required by Government Code section 68511.8(a), to be sent to the chair of the Joint Legislative Budget Committee, vice-chair of the Senate Committee on Budget and Fiscal Review, and the chair and vice-chair of the Assembly Committee on Budget.

Recommendation

The Administrative Office of the Courts (AOC) recommends that the Judicial Council:

1. Approve the *Status of the California Court Case Management System and Phoenix Program, 2012*; and
2. Direct the AOC to submit the report to the Legislature.

Previous Council Action

The report on the California Court Case Management System and the Phoenix Financial and Human Resources System has been required and submitted pursuant to Government Code section 68511.8 since 2003–2004.

Rationale for Recommendation

Government Code section 68511.8(a) requires that the Judicial Council annually report, until project completion, with regard to the California Court Case Management System and the Court Accounting and Reporting System, which is now known as the financial component of the Phoenix Financial and Human Resources System.

Comments, Alternatives Considered, and Policy Implications

Since this report is required by the above referenced section of the Government Code, no alternatives were considered. This report is not required to circulate for public comment.

Implementation Requirements, Costs, and Operational Impacts

Submission of this mandated report to the Legislature does not involve any implementation requirements, costs, or operational impacts for the trial courts.

Attachments

1. *Status of the California Court Case Management System and Phoenix Program, 2012*



Judicial Council of California
ADMINISTRATIVE OFFICE OF THE COURTS

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TANI G. CANTIL-SAKAUYE
Chief Justice of California
Chair of the Judicial Council

STEVEN JAHR
Administrative Director of the Courts

December 15, 2012

Hon. Mark Leno, Chair
Joint Legislative Budget Committee
California State Senate
State Capitol, Room 5100
Sacramento, California 95814

Hon. Bob Blumenfield, Chair
Committee on Budget
California State Assembly
State Capitol, Room 6026
Sacramento, California 95814

Hon. Bill Emmerson, Vice-Chair
Committee on Budget and Fiscal Review
California State Senate
State Capitol, Room 4082
Sacramento, California 95814

Hon. Jim Nielsen, Vice-Chair
Committee on Budget
California State Assembly
State Capitol, Room 6031
Sacramento, California 95814

Re: Status of the California Court Case Management System and Phoenix Program, 2012

Dear Senator Leno, Senator Emmerson, Assembly Member Blumenfield, and Assembly Member Nielsen:

The Judicial Council respectfully submits this report on the status of the California Court Case Management System (CCMS) and the Phoenix Program, as required by Government Code section 68511.8(a). That section specifies that until project completion, the Judicial Council shall provide an annual status report to the chairperson of the budget committee in each house of the Legislature and to the chairperson of the Joint Legislative Budget Committee with regard to the CCMS and the Court Accounting and Reporting System, which is now referred to as the Phoenix Financial System.

December 15, 2012

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With regard to CCMS, the AOC retained Grant Thornton to assist in developing recommendations for a detailed alternative deployment plan, which was completed in March 2012. The Grant Thornton report was presented at the March 27, 2012, Judicial Council meeting. After reviewing three proposed options regarding the CCMS program, the council voted to stop the deployment of CCMS V4 while continuing the maintenance and support for the V2 and V3 interim case management systems. The council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council. The primary objective of this option was to efficiently and cost-effectively wind down the V4 project and determine the manner in which V4 could be leveraged to best serve the technology needs of the trial courts, judicial branch, and court users. Secondly, this option would prepare the judicial branch to enter a new era of technology solutions that are focused on court automation systems that may lack statewide functionality and services but will ensure that the courts and branch stakeholders have access to technology to more efficiently conduct judicial branch business. The report details CCMS project costs through fiscal year 2011–2012, a total of \$312.6 million, which includes the development and deployment of the V3 civil application, development and deployment of CCMS, and Document Management System development and deployment. Total project, operational and interim case management system costs through this same period equal \$527.6 million. There were no funds allocated for CCMS V4 for FY 2012–2013.

The Phoenix Financial System has been deployed to all 58 superior courts and has implemented additional functionality that allows the courts to comply with GASB Statement 54 requirements as well as track expenses related to initiatives including Traffic Amnesty, the Criminal Justice Realignment Act, and Judicial Branch Contract Law. As of July 2, all courts are live on the new Bank Account Consolidation Phase II structure. This transition results in significant banking fee savings for the trial courts. The accounts payable module in the Phoenix System was configured to leverage an automated payment service offered by Bank of America (BOA). This payment service allows vendors to be paid via BOA's electronic payment network via commercial credit card or Automated Clearing House (ACH) instead of more costly paper check issuance. The Phoenix Human Resources System (formerly referred to as the Courts Human Resources Information System (CHRIS)) has been deployed to 7 courts. Because of budgetary constraints, additional deployments to the remaining 51 courts will not resume until additional resources are identified.

If you have any questions, please contact Cory Jasperson, Director, AOC Office of Governmental Affairs, at cory.jasperson@jud.ca.gov or 916-323-3230.

Very truly yours,

Steven Jahr
Administrative Director of the Courts

SJ/CS

Enclosures

cc: Members of the Judicial Council
Hon. Terence L. Bruiniers, Associate Justice, Court of Appeal, First Appellate District,
Division Five
Mr. Gregory P. Schmidt, Secretary of the Senate
Ms. Diane F. Boyer-Vine, Legislative Counsel
Mr. E. Dotson Wilson, Chief Clerk of the Assembly
Ms. Margie Estrada, Policy Consultant, Office of Senate President pro Tempore Darrell
S. Steinberg
Ms. Fredericka McGee, General Counsel, Office of Assembly Speaker John A. Pérez
Ms. Peggy Collins, Principal Consultant, Joint Legislative Budget Committee
Mr. Joe Stephenshaw, Consultant, Senate Committee on Budget and Fiscal Review
Mr. Matt Osterli, Consultant, Senate Republican Fiscal Office
Mr. Marvin Deon II, Consultant, Assembly Budget Committee
Mr. Allan Cooper, Consultant, Assembly Republican Fiscal Office
Ms. Anita Lee, Fiscal and Policy Analyst, Legislative Analyst's Office
Mr. Jay Sturges, Principal Program Budget Analyst, Department of Finance
Ms. Jody Patel, Administrative Office of the Courts (AOC) Chief of Staff
Mr. Curt Soderlund, AOC Chief Administrative Officer
Mr. Curtis L. Child, AOC Chief Operating Officer
Mr. Cory Jasperson, Director, AOC Office of Governmental Affairs
Mr. Mark Dusman, Director, AOC Information Technology Services Office
Mr. Zlatko Theodorovic, Director, AOC Fiscal Services Office
Mr. Peter Allen, Senior Manager, AOC Office of Communications
Mr. Steven Chang,
Manager, AOC Fiscal Services Office
Ms. Virginia Sanders-Hinds, Senior Manager, AOC Information Technology Services
Office
Ms. Diana Earl, Senior Manager, AOC Information Technology Services Office
Ms. Olivia Lawrence, Supervising Court Services Analyst, Trial Court Administrative
Services Office
Mr. Colin Simpson, Supervising Budget Analyst, AOC Fiscal Services Office
Ms. Bernadine Gonzalez, AOC Court Operations Special Services Office



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TANI G. CANTIL-SAKAUYE
Chief Justice of California
Chair of the Judicial Council

STEVEN JAHR
Administrative Director of the Courts

Report Title: *Status of the California Court Case Management System and the Phoenix Program, 2012*

Statutory Citation: Government Code section 68511.8

Date of Report: December 2012

The Judicial Council has submitted its annual status report to the Legislature, in accordance with Government Code section 68511.8, on the California Court Case Management System (CCMS) and the Phoenix Financial and Human Resources Services Program.

This summary of the report is provided consistent with the requirements of Government Code section 9795.

This status report includes a description and discussion of major activities undertaken in 2011 for both CCMS and the Phoenix Program, project accomplishments to date, activities under way, proposed activities for the future, and annual revenues and expenditures for these projects.

With regard to CCMS, the AOC retained Grant Thornton to assist in developing recommendations for a detailed alternative deployment plan, which was completed in March 2012. The Grant Thornton report was presented at the March 27, 2012, Judicial Council meeting. After reviewing three proposed options regarding the CCMS program, the council voted to stop the deployment of CCMS V4 while continuing the maintenance and support for the V2 and V3 interim case management systems. The council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council. The primary objective of this option was to efficiently and cost-effectively wind down the V4 project and determine the manner in which V4 could be leveraged to best serve the technology needs of the trial courts, judicial branch, and court users. Secondly, this option would prepare the judicial branch to enter a new era of technology solutions that are focused on court automation systems that may lack statewide functionality and services but will ensure that the courts and branch stakeholders have access to technology to more efficiently conduct judicial branch business. The report details CCMS project costs through fiscal year 2011–2012, a total of \$312.6

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The full report is available at www.courts.ca.gov/7466.htm.

A printed copy of the report may be obtained by calling 415-865-7966.

Judicial Council Members

As of December 5, 2012

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Hon. Steven Jahr

*Administrative Director of the Courts
and Secretary of the Judicial Council*

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*Chief Justice of California and
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Administrative Director of the Courts

Curt Soderlund
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**JUDICIAL AND COURT ADMINISTRATIVE
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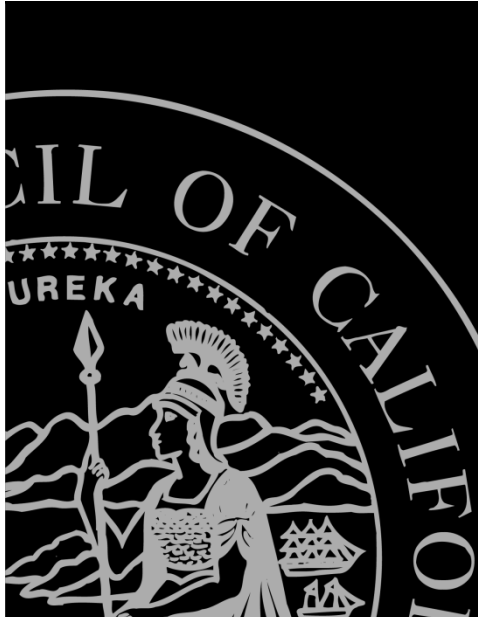
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Status of the California Court Case Management System and the Phoenix Program 2012

REPORT TO THE LEGISLATURE
DECEMBER 2012



ADMINISTRATIVE OFFICE
OF THE COURTS

Summary

Government Code section 68511.8 requires the Judicial Council to report annually on the status of the California Court Case Management System (CCMS) and the Court Accounting and Reporting System (now referred to as the Phoenix Financial System). The statute specifically requires the report to include, but not be limited to, all of the following:

1. Project accomplishments to date;
2. Project activities underway;
3. Proposed activities; and
4. Annual revenues and expenditures to date in support of these projects, which shall include all costs for the Administrative Office of the Courts (AOC) and incremental court personnel, contracts, and hardware and software.

This report is submitted consistent with that reporting requirement. As the Phoenix system incorporates human resources services as well, the information provided on Phoenix covers both financial and human resources services.

Reports on the status of CCMS and Phoenix issued in prior years included background on each of the programs as well as descriptions of the vision, capabilities, and benefits of these systems. Those sections are omitted from this year's report to avoid duplication and focus the current report on changes, updates, progress, and general status in 2012. For additional background information, prior years' reports are available at www.courts.ca.gov/7466.htm.

California Court Case Management System (CCMS)

This report is submitted as an update to the February 29, 2012 report and includes activities that have occurred since the Judicial Council review of the Grant Thornton LLP (Grant Thornton) recommendations on CCMS. This report contains an overview of the recommendations, status of the delay cost reimbursement from Deloitte Consulting LLP (Deloitte Consulting), and information on the Judicial Council's decision to terminate the CCMS-V4 statewide deployment. This is the final report for the CCMS project.

Grant Thornton Recommendations

The AOC retained Grant Thornton to assist in developing recommendations for a detailed alternative deployment plan which was completed in March 2012. The Grant Thornton report was presented at the March 27, 2012, Judicial Council meeting.

The *Recommended CCMS V4 Deployment Plan and Approach* document estimates the deployment costs and benefits to the AOC and to the recommended courts of a limited deployment of the Court Case Management System (CCMS) V4 to 1 early adopter court and to 10 subsequent courts. To accomplish this, Grant Thornton:

- Independently reviewed and validated the AOC's budget assumptions for the San Luis Obispo early adopter court deployment;
- Identified 10 additional courts to participate in an initial deployment of CCMS V4. Courts were recommended based on a set of evaluation criteria that included court size, current use of V2 or V3, and existence of a critical need related to the stability of their current case management system (CMS);
- Estimated the CCMS V4 deployment costs for these courts (both one-time and ongoing) through fiscal year (FY) 2020–2021;
- Estimated the benefits associated with deploying CCMS V4 to the recommended courts; and
- Estimated the return on investment of deploying CCMS V4 to the recommended courts versus not deploying CCMS.

Grant Thornton reported that based on estimates, an 11-court CCMS deployment would break even in FY 2022–2023. They also noted that in order to create a CCMS V4 deployment strategy that has an earlier positive return on investment, the judicial branch had several options:

1. Add additional courts, or replace the smaller courts in the deployment plan with large or medium-sized courts.
2. Work with county and local justice partners to increase the percentage of case filings submitted electronically.
3. Accelerate the deployment of the Phase 2.1 and Phase 2.2 courts.

For additional information, view the entire report at www.courts.ca.gov/documents/jc-20120327-itemD.pdf.

Judicial Council Decision to Terminate

The CCMS project was at a crossroads. Development of the system had been completed and, following rigorous testing and independent reviews, the system had been accepted from the development vendor by the CCMS Executive Committee. The system was ready to be deployed to the trial courts, but in a different fiscal environment than existed during design and development. The Judicial Council had to consider whether to move forward with system deployment at a time of unprecedented budget constraints in the judicial branch or consider alternatives that will allow the redirection of all or a portion of CCMS funding to support direct trial court operations.

A report containing three options and cost estimates was presented at the March 27, 2012, Judicial Council meeting. For all of the options, the assumption was made that maintenance and support will continue for the V2 and V3 interim case management systems. Information regarding the scope and cost of the following three options was presented:

1. Deploy CCMS to 1 early adopter court, the Superior Court of San Luis Obispo County, followed by the Grant Thornton–recommended 10-court, Phase 2 strategy that balances economic return, diversity, and needs of courts.
2. Pause CCMS activities for 12 months and then deploy CCMS to 1 early adopter court, the Superior Court of San Luis Obispo County, followed by the Grant Thornton–recommended 10-court, Phase 2 strategy that balances economic return, diversity, and needs of courts.
3. Terminate V4 as a statewide solution and leverage the developed technology and software to benefit ongoing judicial branch technology solutions.

The council voted to stop the deployment of CCMS V4 and directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

1. Terminating V4 as a statewide court technology solution and winding down the project;
2. Establishing an approach and vision for implementing technology that serves the trial courts, litigants, attorneys, justice system partners, and the public while considering available resources and technology needs;
3. Leveraging the V4 technology and developed software to benefit ongoing judicial branch technology solutions;
4. Providing technology solutions in the near term to improve efficiencies in court operations, by maximizing the value of document management systems, e-filing capabilities, and e-delivery services for the benefit of litigants, attorneys, justice partners, and the public.
5. Establishing a judicial branch court technology governance structure that would best serve the implementation of the technology solutions otherwise included in these recommendations;
6. Developing alternatives for the V4 early adopter court, the Superior Court of San Luis Obispo County, to meet its current case management system needs; and
7. Developing strategies to assist trial courts with existing critical case management system needs.

The primary objective of this option was to efficiently and cost-effectively wind down the V4 project and determine the manner in which V4 could be leveraged to best serve the technology needs of the trial courts, judicial branch, and court users. Secondly, this option would prepare the judicial branch to enter a new era of technology solutions that are focused on court automation systems that may lack statewide functionality and services but would ensure that the courts and branch stakeholders have access to technology to more efficiently conduct judicial branch business.

This decision represents a major policy shift in Judicial Council technology direction and approach. While this option recognizes the fiscal environment that has dramatically limited the ability of the Judicial Council to maintain court operations for the public, it also recognizes and protects the significant investment the judicial branch has made in the V3 and V4 software product it now owns. This option proposed to analyze and potentially leverage the technical infrastructure, application functionality, processes, and artifacts, ensuring the assets owned by the judicial branch will be used to meet ongoing needs for technology solutions for the California trial courts.

An initial rapid feasibility study of the options was performed to support the recommendation to leverage CCMS components. Following the rapid feasibility study, an intensive effort took place to analyze how the judicial branch might be able to leverage the CCMS external components, which included a statewide data warehouse, interpreter's module, e-filing, data exchanges, a statewide portal, and document management system integration. Forty-five volunteers from the AOC and 11 courts (Calaveras, Placer, Orange, Humboldt, Napa, Riverside, San Diego, San Mateo, Santa Clara, Stanislaus, and Ventura) analyzed the leverage options. Due to the lack of funding, a decision was made to terminate these activities in July 2012.

CCMS Governance Structure

The judicial branch reported in the 2011 Report to the Legislature that the CCMS governance structure was augmented in 2010 to provide overarching direction and guidance and to ensure greater transparency and project decision making at the appropriate level. The governance model consisted of the CCMS Executive Committee and three advisory committees to help manage issues and make decisions related to administration, operations, and justice partner relationships. Following the decision at the March 27, 2012, Judicial Council meeting, committee members were thanked for their service and dedication and notified their committee work was completed.

In April 2012, the Chief Justice appointed a new internal Judicial Council committee charged with overseeing the council's policies on CCMS. The CCMS Internal Committee had 11 members, including 8 judicial officers, 1 court executive officer, and 2 attorneys. The committee advised the council on CCMS-related policy decisions and reports on the system's progress, ensuring that the council was fully informed and up to date on the case management system.

The Judicial Council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations for the activities related to stopping deployment of CCMS, leveraging the technology, and developing the new technology vision and governance for the judicial branch. Effective June 22, 2012, the council changed the name of the CCMS Internal Committee to the Technology Committee. With the termination of CCMS V4 as a statewide technology project and the new charge for the committee, changing the name to the Technology Committee will bring the committee name into alignment with the charge of establishing the new direction for branch technology.

In order to receive additional input, the Technology Committee established the Judicial Branch Technology Initiatives Working Group made up of judicial officers, court executive officers, and court information officers to work with the AOC. The immediate goal was for the group to assist in leveraging the developed technology and software currently in CCMS. The long-term goal is to help define the vision for judicial branch technology.

Termination Activities

In order to carry out the Judicial Council decision to terminate V4, the AOC Information Technology Services Office (ITSO) worked with the vendor for the California Courts Technology Center (CCTC) to shut down the existing environments. Notice has been provided to software and hardware vendors to discontinue support as per terms in the vendor agreements. The decommissioned hardware has been inventoried and made available to meet the needs of other judicial branch initiatives. Application components are appropriately stored for potential future use. Examples of components include: the source code, developed forms, development tools, configuration tools and processes, and test scripts.

The CCMS Program Management Office archived and organized project deliverables and documentation according to project management best practices.

The final program cost contains costs through the end of FY 2011–2012.

Final Program Cost

The California Court Case Management System (CCMS) Project Expenses for FY 2002–2003 through FY 2011–2012 are included in this report as Attachment 1. The report reflects all expenditures and encumbrances for the program through the end of FY 2011–2012. There are no funds allocated for CCMS V4 activities for FY 2012–2013. The following table shows the total amount for all program areas and each fund. The CCMS Project Costs below reflect a \$16 million dollar reimbursement from the development vendor due to a delay in the project.

Table 1: Final CCMS Program Cost

	Total
FUND SOURCES	
General Fund	\$ 7,871,570
Modernization Fund	\$ 71,793,030
Trial Court Trust Fund	\$ 191,703,631
Trial Court Improvement Fund	\$ 196,862,157
Development Vendor Delay Cost Reimbursement	\$ (16,000,000)
Trial Court Reimbursements (state expenses reimbursed by courts)	\$ 15,577,890
Trial Court Expenditures (court expenses not reimbursed by state)	\$ 59,781,573
TOTAL FUNDING	\$ 527,589,851
EXPENDITURES	
CCMS Project Costs	
Civil, Small Claims, Probate, MH Development & Deployment	\$ 94,683,072
CCMS Development (Incl. Planning & Strategy)	\$ 218,812,541
Development Vendor Delay Cost Reimbursement	\$ (16,000,000)
CCMS Deployment	\$ 15,113,883
Document Management System (DMS) Development & Deployment	\$ -
TOTAL CCMS PROJECT	\$ 312,609,496
Ongoing Program & Services	
CCMS Maintenance & Support	\$ 13,679,930
DMS Maintenance & Support	\$ -
TOTAL OPERATIONAL	\$ 13,679,930
Interim CMS	
Criminal & Traffic Development & Deployment	\$ 14,229,162
Criminal & Traffic Maintenance & Support	\$ 66,420,047
Civil, Small Claims, Probate, MH Maintenance & Support	\$ 120,651,216
TOTAL INTERIM CMS	\$ 201,300,425
TOTAL CCMS PROGRAM EXPENDITURES	\$ 527,589,851

Attachment 1 consists of four tables—a high-level summary table and three detail tables, as described below—that reflect funding and expenses for the lifetime of the project from FY 2002-2003 through fiscal year 2011–2012 related to the CCMS program. The expenses reported include costs incurred by the trial courts beginning in FY 2010–2011.

Attachment 1A, *California Court Case Management System (CCMS) Project, Ongoing Programs and Services, and Interim Case Management System Funding and Expenses*, provides a summary of the CCMS program funding and expenses detailed in Attachments 1B, 1C, and 1D.

Attachment 1B, *California Court Case Management System (CCMS) Project Expenses*, summarizes the expenses related to CCMS projects.

Attachment 1C, *Ongoing Program and Services Expenses*, summarizes the expenses related to ongoing CCMS programs and services.

Attachment 1D, *Interim Case Management System Expenses*, summarizes the expenses related to the interim case management systems.

Delay Cost Reimbursement

It has been previously reported that Deloitte Consulting was held contractually responsible for the costs associated with correcting the quality issues identified and any costs incurred by the branch during the project's 10-month delay resulting from those quality issues. As the development contract included provisions addressing a project delay, the AOC Fiscal Services Office's Business Services Unit, and the Legal Services Office, along with executive leadership, negotiated the terms of the vendor delay reimbursement with a calculated cost of \$16 million.

Two delay reimbursement options were agreed upon; either a deployment of CCMS to the Superior Court of Fresno County with all related costs assumed by the vendor, or a lump sum payment of \$16 million to the branch. The deployment to the Superior Court of Fresno County required a contract amendment be in place by March 31, 2012. Otherwise, only the lump sum payment option would be available. With Deloitte Consulting declining a request to extend the date beyond March 31, 2012, the only alternative was to accept the \$16 million payment.

Deloitte Consulting sent the payment of \$16 million to the Judicial Council, AOC, in May 2012. Monies were deposited to the appropriate funds based on the fund sources that incurred expenses for the technical environments, software licensing, contractors, court subject matter experts, AOC staff, and travel expenses during the delay.

Status of Interim CMS (V2 & V3)

Maintenance and operations support for the Interim Criminal and Traffic Case Management System (V2) deployed in the Superior Court of Fresno County in 2006 is provided by the AOC. The Civil, Small Claims, and Probate and Mental Health Interim Case Management System (V3), currently deployed in five superior courts—Orange, Sacramento, San Diego, San Joaquin, and Ventura Counties—is also supported by the AOC. The Superior Court of Los Angeles County previously was reported to have deployed V3 to a single courtroom but discontinued use in the first quarter of 2012 and uses a read-only version at this point. Both case management systems were supported by software development vendors before maintenance and support operations transitioned to the AOC to achieve cost savings and establish a foundation for ongoing support. The decision to suspend the deployment of CCMS V4 requires the existing support model for the V2 and V3 programs be reexamined.

V2 and V3 were considered “interim” case management systems pending the development of CCMS V4. In the interim period, the courts utilizing V2 and V3 have worked with the AOC Information Technology Services Office (ITSO) to develop and maintain mature and stable

systems. AOC ITSO assists the courts on a daily basis, providing various levels of support. The courts rely on the skills and expertise of the maintenance and support unit to remediate defects, implement legislative updates, configure and install software and hardware upgrades, and address other minor and critical issues. Ongoing CCMS maintenance is required to support the daily operations of V2 and V3 courts.

Post Implementation Evaluation Report

According to Government Code section 68511.8 (c):

Within 18 months of fully implementing the California Case Management System and the Court Accounting and Reporting System projects, the Administrative Office of the Courts shall provide to the chairperson of the budget committee in each house of the Legislature and the chairperson of the Joint Legislative Budget Committee, a post implementation evaluation report for each project. The report shall include, but is not limited to, a summary of the project background, project results, and an assessment of the attainment of project objectives.

Because no deployment occurred, no post implementation evaluation or subsequent report is required. Thus this is the final report for the California Court Case Management System project.

Phoenix Program

The Phoenix Program includes the support and deployment of an Enterprise Resource Planning (ERP) system on an SAP technical platform, as well as professional financial and human resources services for the 58 trial courts in the state. This system is equivalent to the executive branch's efforts to deploy an ERP system with the FISCAL and 21st Century Project. The Phoenix Financial System and the Phoenix Human Resources System (together referred to as the "Phoenix System") replace systems and support previously provided to the courts by counties and private entities. This coordinated system provides end users with seamless interaction between the input and retrieval of financial information and support for human resources. The AOC successfully deployed the financial system component of this new technology platform to all 58 courts between 2002 and 2009. In addition, 7 of the 58 courts have implemented the fully integrated system by deploying the human resources system as well.

Phoenix Financial System

The Phoenix Financial System enables the courts to produce a standardized set of monthly, quarterly, and annual financial statements that comply with existing statutes, rules, and regulations and are prepared in accordance with generally accepted accounting principles. The AOC has been providing professional accounting and business services to all 58 trial courts using the Phoenix Financial System since July 2009. The Phoenix Financial System provides immediate access to data, enabling courts to make informed business decisions and improving day-to-day operations.

The judicial branch has realized significant benefits and efficiencies from the statewide implementation of the Phoenix Financial System. In addition to the ability to produce standardized reports and fiscal oversight, the system has also provided the opportunity to better manage judicial branch resources. The recent Bank Account Consolidation program implementation reduced fees on AOC-administered bank accounts, resulting in an annual savings to the trial courts of approximately \$700,000. In addition, the Court Interpreter Data Collection program enhances the courts' ability to manage resources and plan for accommodating local language trends by tracking court interpreter-specific data, including language spoken, case type, and type of proceeding as well as associated interpreter costs, including mileage and per diem rates. Lastly, the Comprehensive Payment Solution program, once fully in place, will allow courts to replace paper checks to certain vendors with an electronic payment process, including through commercial credit card networks, saving the courts an estimated \$1 million.

The Phoenix System is reconfigurable to add more functionality as needed. Reconfiguration is often performed (1) to implement new programs that will benefit the trial courts, (2) in response to legislative mandates, or (3) to address change requests associated with contract negotiations. Several courts have expressed great interest in specific functions within the financial and human resources systems. The most common inquiries from the courts regard:

- Human resources payroll functionality, of interest to at least 11 courts that have expiring agreements with their counties or other service providers;
- Talent management tools, such as “Recruitment and Retention,” “Training Requirements Compliance Tracking,” “Learning Management Solution,” and “Performance Management,” as part of an integrated ERP system;
- Integrated financial tools, especially for larger courts, to allow more efficiency in complying with new Government Accounting Standards Board (GASB) requirements as well as fixed asset and inventory management; and
- New procurement functionality for improved efficiency and to comply with recent statutory requirements of the Public Contract Code related to documentation and tracking.

Accomplishments to Date¹

The accomplishments of each system are detailed below.

Table 2: Phoenix Financial System

Accomplishment	Date Completed
The AOC surveyed trial courts to determine interest in a statewide trial court financial system.	Early 2001
The AOC launched the implementation of the Phoenix Financial System (then known as the Court Accounting and Reporting System). The Superior Court of Stanislaus County became the first court to use the new system.	Dec 2002
A five-year statewide rollout schedule was released, detailing the trial courts in line for transition to the Phoenix Financial System from fiscal year 2003–2004 through FY 2008–2009.	Feb/Mar 2003
Six trial courts were added to the system: the Superior Courts of Lake, Madera, Placer, San Luis Obispo, Siskiyou, and Tulare Counties.	FY 2003–2004
The Phoenix Financial System was installed at 10 trial courts: the Superior Courts of Alameda, Calaveras, Contra Costa, Kings, Merced, Modoc, San Benito, San Bernardino, Tehama, and Yolo Counties—bringing to 17 the number of courts on the statewide system.	FY 2004–2005
The position of assistant director of the Office of Trial Court Financial Services, in the AOC Finance Division, was established to oversee the Phoenix Financial System on the courts’ behalf. This position was filled in November 2004.	Jul 2004

¹ Only the 2011–2012 entries in each of the following charts are new; all entries for prior-year accomplishments are carried over unchanged from prior reports.

Accomplishment	Date Completed
The system was implemented in an additional 14 courts— the Superior Courts of Colusa, El Dorado, Fresno, Humboldt, Kern, Marin, Napa, Plumas, San Joaquin, Santa Cruz, Solano, Sonoma, Trinity, and Ventura Counties—bringing to 31 the number of courts on the statewide system.	FY 2005-2006
The Phoenix Financial System product was migrated to the newest version of MySAP (4.7c) for the statewide financial system, adding new functionality and reporting capabilities for use by the trial courts.	Apr 2005
Quarterly Phoenix Financial System user group meetings were held to enable the courts to network with the AOC, to improve the level of services received from the accounting processing center, to serve as a forum to raise concerns regarding the functionality of the statewide system, and to help build professional relationships with the newly formed Office of Trial Court Financial Services.	2005
A comprehensive governance structure for the Phoenix Financial System was established, encompassing a steering committee composed of AOC Finance, Human Resources, and Information Services divisions and the three regional administrative directors.	Apr 2005
The function of the Treasury Services unit was expanded to include trust accounting services, cash management, and banking services.	May 2005
A contractor was selected as a result of an RFP to study the court trust accounting processes, analyze court business requirements, and identify processing gaps between MySAP and the Phoenix Financial System environment to assess the latter’s readiness to include the trust accounting business processes within the statewide system.	Jun 2005
A study was conducted of the trial court cashing processes to determine the impact of pending and subsequently chaptered legislation affecting the collection of civil assessment and uniform civil filing fees (Assem. Bill 139, Stats. 2005, ch. 74; Assem. Bill 145, Stats. 2005, ch. 75).	Jul 2005
The Business Process Management section in the Finance Division was established to provide planning and leadership for the Phoenix Financial System and to develop a strategic direction for the system and its future use by the courts.	Dec 2005
Based on a study of business requirements and a functional gap analysis beginning in June 2005, the 12-member trial court working group and the AOC resolved to develop a new civil and criminal bail trust processing computer application for statewide implementation within SAP’s Public Sector Collections and Disbursement module. This new trust system application will be fully integrated with the Phoenix Financial System, which is also a SAP application. The development of this trust processing and accounting module is under way.	Jun 2006
The Phoenix Financial System was implemented in an additional 13 courts—the Superior Courts of Alpine, Amador, Glenn, Imperial, Inyo, Lassen, Mariposa, Mono, Riverside, Sacramento, San Francisco, Shasta, and Sierra Counties—bringing to 44 the number of courts on the statewide system.	FY 2006–2007

Accomplishment	Date Completed
The project was renamed from Court Accounting and Reporting System to Phoenix Financial System, a component of the Phoenix Program that incorporates the Phoenix Financial System and the Phoenix Human Resources System.	Jul 2006
The SAP technical infrastructure was expanded to support higher system availability for users and the statewide implementation of the remaining courts. The new infrastructure also complies with higher security standards established by the AOC.	Dec 2006
The Phoenix Financial System was implemented in 5 additional courts— the Superior Courts of Butte, Monterey, San Diego, San Mateo, and Santa Barbara Counties— bringing to 49 the number of courts on the statewide system since its inception.	Jul 2007
The services provided to the courts by Phoenix Financial Services increased significantly as more courts were added to the system. The Accounts Payable Unit processed approximately 20,000 jury checks per month and printed and issued 20,000 operations checks per month on behalf of the trial courts to pay their bills. The General Ledger and Reports Unit balanced 147 trial court bank accounts per month, and the Trust Services Unit tracked \$500 million in trust monies for the trial courts annually. These numbers reflect the support provided to 49 trial courts on the Phoenix Financial System during that period.	FY 2007–2008
The AOC participated in an RFP process for a system upgrade (both financial and human resources), beginning in July 2008 with a 12-month preparation and testing period before implementation. The upgrade ensures the continuance of technical support of the system software and provides added system functionality such as enhanced statewide reporting and other features.	Jan 2008
The Phoenix Financial System was deployed to the Superior Courts of Del Norte and Mendocino Counties.	Jan 2008
The Phoenix Financial System was deployed to the Superior Courts of Nevada, Sutter, Tuolumne, and Yuba Counties.	Apr 2008
The Phoenix Financial System was live in all 58 courts, with deployment to the Superior Courts of Los Angeles, Orange, and Santa Clara Counties. In the 58th and final court, the Superior Court of Los Angeles County, implementation is occurring in phases because of the size and complexity of the court.	Jul 2008
The AOC received additional resources for the Phoenix Program through the budget change proposal process to assist with the development and deployment of the project.	Jul 2008
As a result of the RFP process in January 2008, contract services were obtained to assist with a system functionality assessment in preparation for the second phase of the project specific to a system software upgrade and its redeployment. EPI-USE America, Inc. was selected to assist in the final deployment of the Phoenix Financial System to the Superior Court of Los Angeles County and implementation of the Phoenix Human Resources System to the 52 remaining trial courts. That company will also perform the planned Phoenix Financial System SAP upgrade and redeployment to all 58 courts.	Jul 2008

Accomplishment	Date Completed
<p>Statistics indicated a significant increase in services provided to the 58 courts on the Phoenix Financial System. The Accounts Payable Unit processed approximately 231,000 jury checks per month and also printed and issued 175,000 operation checks per month on behalf of the trial courts to pay their bills. The General Ledger and Reports Unit balanced 228 trial court bank accounts per month, and the Trust Services Unit tracked more than \$1 billion in trust monies for the trial courts annually.</p>	Oct 2008
<p>Statewide regional forums were held in an effort to ensure that the vision, goals, and objectives of the Phoenix Program were conveyed to stakeholders, affording them the opportunity to provide essential input for various aspects of the project.</p>	Oct 2008
<p>The project's Blueprint Phase was completed in preparation for the SAP software upgrade from version 4.7 to 6.0 in collaboration with court staff.</p>	Mar 2009
<p>The testing and development for the planned statewide software upgrade was completed.</p>	Apr 2009
<p>The Phoenix Financial System software upgrade was successfully launched. The financial component of the Phoenix System was upgraded, migrating from SAP version 4.7 to 6.0. This statewide effort encompassed many months of planning and collaboration between Phoenix Program staff and court subject matter experts and users, as well as lengthy software testing and development and included new functionality.</p>	Jul 2009
<p>The Superior Court of Los Angeles County's phased implementation on the Phoenix Financial System neared completion—a significant milestone that marked the final deployment of this component statewide. The size and complexity of this court presented challenges overcome through the successful partnering of AOC and superior court staff. Plans are currently being developed to complete this effort in 2010.</p>	Jul 2009
<p>The Procurement Program was initiated in the courts. The Procurement Program provides the courts with the option to elect a specific scenario to review and approve their internal purchase orders using the Phoenix Financial System, ensuring that there are checks and balances in place to meet the requirements of the <i>Trial Court Financial Policies and Procedures Manual</i>.</p>	Aug 2009
<p>Preparation began for the launch of SECUDE, security software designed to protect the data transmitted between the Phoenix System and SAP environments using a single sign-on configuration. This software will be installed on all finance and human resources users' desktops in each court.</p>	Feb 2010
<p>The Bank Account Consolidation project was launched with the goal of seamlessly consolidating the structure of AOC-administered bank accounts, creating cost savings opportunities for the courts, and simplifying the overall cash management process. The collective cost savings is estimated at \$600,000 per year. The phased implementation is planned to take place over seven months.</p>	Feb 2010

Accomplishment	Date Completed
The Phoenix Program's flexible reporting project was launched to enhance the Phoenix System's reporting solution to offer faster, more user-friendly, and more flexible online analytical functionality. Court staff benefit by faster data retrieval and an enhanced user interface.	Mar 2010
The deployment of Solution Manager to the Phoenix production landscape was a continuous-improvement initiative designed to increase effective support for the courts, the AOC, and the underlying information technology infrastructure. The initiative centralizes the handling of court-reported systems issues and allows for quick resolution and tracking. It supports a repository of project and maintenance documentation organized by business process and it allows for systems monitoring for the application and its related infrastructure and hardware.	Apr 2010
Efforts to finalize an encryption solution for a single sign-on for the courts were completed. SECUDE was successfully deployed to all 58 courts.	July 2010
The first phase of the bank account consolidation project was successfully concluded in all 58 courts as a cost savings measure to reduce banking fees on AOC-administered bank accounts.	Aug 2010
The Phoenix team worked with the Superior Court of Los Angeles County to modify the 2009 version of the data upload process for their general ledger accounts on the Phoenix System. The new process allows the court to load detailed information from its legacy system (eCAPS) into the Phoenix System, providing a complete picture of the court's financial activity. The Los Angeles court remains on its county system for certain other functions, including procurement and financial investment.	Sept – Dec 2010
Efforts for the update and revision of the current <i>Trial Court Financial Policies and Procedures Manual</i> began with a late-2011 anticipated release date for the 8th edition.	Dec 2010
New functionality for a Uniform Civil Fee System (UCFS) and Phoenix System interface was developed resulting in the automation of the daily bank balance and capital bank balance reports for each trial court. This interface is used by Treasury Services to determine trial court bank balances to verify that a court has a cash balance sufficient to cover the distribution of fees, and also generates reports for the State Controller's Office and various entities that receive the distributed funds.	Feb 2011
The Phoenix System was reconfigured to enable it to capture court interpreter-specific data including language spoken, case type, and type of proceeding as well as associated interpreter costs, including mileage and per diem rates, to enhance the courts' ability to manage resources and better plan for accommodating local language trends. The Court Interpreter Data Collection program is being offered to the courts as an optional system feature.	May 2011
The AOC is developing interfaces between the Phoenix System and the California Court Case Management System (CCMS). The goal is to gain the ability to extract financial data from CCMS and load it directly into the Phoenix Accounting Module for accounting and reporting purposes.	June 2011

Accomplishment	Date Completed
Pursuant to Senate Bill 78 and Public Contract Code section 19209 (Mandatory Reporting of Judicial Branch Contracting Information), the Phoenix Financial System has been modified to capture information regarding all trial court vendors or contractors receiving payments. This technical solution will provide the AOC with the ability to generate reports semiannually as mandated by statute.	June 2011
In compliance with GASB Statement 54, <i>Fund Balance Reporting and Governmental Fund Type Definitions</i> , the Judicial Council updated the fund balance policy at the October 2010 business meeting and directed that fund balances be reported using the five distinct classifications of Nonspendable, Restricted, Committed, Assigned, and Unassigned. The Phoenix System was configured to accommodate the council's directive, establishing five GASB General Ledger categories for reporting year-end reserve amounts.	July 2011
New project codes were established in the Phoenix System to help courts that want to track their expenses related to initiatives including Traffic Amnesty, the Criminal Justice Realignment Act, and Judicial Branch Contract Law for both one-time and ongoing costs.	Nov 2011
All Phoenix environments both in the AOC Development and California Court Technology Center (CCTC) Data Centers were successfully upgraded to the latest version of SAP software (EHP 5).	Nov 2011
The complete Disaster Recovery Technical Recovery Plan including network, vendor, and bank interfaces, security, and Phoenix Production data and system recovery was successfully executed.	Nov 2011
Completed product acceptance testing of the payment and disbursement interface with CCMS V4. This interface automates the recording of deposit information and requests for trust money disbursement, which will reduce trial court staff time in recording this information in the Phoenix System.	Mar 2012
The Server Decommission and Consolidation project will remove several servers from the Phoenix environment by both consolidating functionality from multiple boxes to a fewer number and through an advance virtualization strategy. Projected savings for both hardware one-time expenses and ongoing cost will be realized once the project is complete.	Mar 2012
Phase II of the Bank Account Consolidation project was launched. Historically, the trial courts have maintained separate bank accounts with Bank of America. Leveraging functionality in the Phoenix System to keep funds separated, all courts can now be part of a single BOA account. This transition results in significant banking fee savings for the trial courts. The conversion of operations bank accounts has already occurred. This phase II project is to consolidate trust and distribution accounts. The current schedule has all courts converted to this new structure by the end of July 2012.	Mar 2012

Accomplishment	Date Completed
Assistance was provided to the Superior Court of Alpine County with their effort to assume administrative functions previously provided by a private certified public accounting firm. Processes are now in place at the court and Phoenix to fully manage budgetary and financial transactions, employee timekeeping and payroll, and all associated compliance reporting.	Mar 2012
Phoenix Business Warehouse Reporting was delivered. New summary financial reporting was developed for court users and management to help meet new fund balance reporting requirements. Annual year-end training was announced and offered to court users. The invitations for training were met with great response and additional sessions were added to satisfy demand.	Apr 2012
Twenty-seven courts have deployed the new Bank Account Consolidation Phase II structure, and according to the current schedule, the 15 remaining courts with Trust and/or Distribution accounts will be converted to this new structure by the end of July 2012.	May 2012
As of July 2, all courts were live on the new Bank Account Consolidation Phase II structure. This transition results in significant banking fee savings for the trial courts.	July 2012
The Storage Area Network (SAN) Conversion from Platinum to Nickel and Decommission of Expired Non-Production Servers project was launched. Phoenix realized CCTC hosting expenses savings as the result of two technical cost-savings initiatives. First, Phoenix spearheaded the prototype for SAN conversion of all non-production environments from the more expensive Platinum SAN to nickel. This program produces saving without impacting any of the courts' production environments. The second evaluated current non-production environments and proposed both consolidation and decommission of four Phoenix non-production servers providing ongoing savings and a reduction of capital asset expenses.	July 2012
The Bulk Mailing Software Program was implemented. This is a bulk mailing software program that takes print jobs from the Phoenix System and pre-sorts them by zip code. This new software and sorting process results in a reduction in postage from \$0.45 to \$0.38 per item. In the four-month period from April to August 2012, Phoenix processed approximately 104,000 pieces of mail using this software and saved the courts nearly \$7,300. There are plans to incorporate additional mail items from Phoenix over the next couple of months, increasing the pre-sorted mail from about 20,800 pieces to about 37,300 pieces monthly.	Aug 2012

Accomplishment	Date Completed
The accounts payable module in the Phoenix System was configured to leverage an automated payment service offered by Bank of America (BOA). This payment service allows vendors to be paid via BOA's electronic payment network via commercial credit card or Automated Clearing House (ACH) instead of more costly paper check issuance. As a benefit of the Comprehensive Payment Solution program, BOA will share a portion of the credit card association fee proceeds with the courts in the form of a rebate. Once the program is fully operational, the total rebate value across all courts has been estimated at \$700,000. With recent assistance from the Kern, Orange, and Riverside superior courts, payments were successfully completed to pilot vendors. The vendor enrollment campaign has begun on a larger scale and the plan is to begin using the ePayables product to make payments to additional vendors over the next several weeks.	Sep 2012
The Phoenix Grant funds structure was consolidated reducing over 50 individual grant funds (38 of which are active) to 5 grant funds (AOC, Federal, State, Local, Private). This streamlines processing and reporting on grant-related transactions for court and AOC users of the Phoenix System.	Sept 2012
The Phoenix Program was recently awarded SAP's Customer Center of Expertise (COE) Primary certificate. This was the result of a successful certification audit conducted by SAP, assuring that all obligatory functions performed by the program's COE met or exceeded industry standards.	Sept 2012

Phoenix Human Resources System

The Phoenix Human Resources System provides a comprehensive information system infrastructure that supports trial court human resources management and payroll needs. Designed for integration with the Phoenix Financial System and first deployed in July 2006, the system offers new standardized technology for human resources administration and payroll processing, provides consistent reporting, ensures compliance with state and federal labor laws, collects data at the source, provides central processing, and provides manager and employee self-service functions to the courts.

Table 3: Phoenix Human Resources System²

Accomplishment	Date Completed
A steering committee formed by the AOC voted to support the Court Human Resources and Information System (CHRIS) project and defined the project scope.	Nov 2004

² Only the 2011–2012 entries in each of the following charts are new; entries for prior year accomplishments are carried over unchanged from prior reports.

Accomplishment	Date Completed
The AOC completed the development and configuration of a CHRIS prototype.	Jun 2005
CHRIS was renamed as the Phoenix Human Resources System, which joined the Phoenix Financial System as part of an integrated system designed to serve the financial, human resources, and payroll needs of the trial courts.	Jun 2006
First installed in the Superior Court of Sacramento County, the Phoenix Human Resources System enabled electronic management of personnel administration, organizational management, payroll, time management, benefits administration, training and event tracking, and compensation administration.	Jun 2006
Five additional courts—the Superior Courts of Lake, Riverside, Santa Cruz, Siskiyou, and Stanislaus Counties—went live on the Phoenix HR System.	Jan 2007
Further deployment of the Phoenix Human Resources System was temporarily halted pending an upgrade of the system to be conducted during fiscal year 2008–2009 and until additional resources are provided for this component of the project.	Jul 2008
Scheduled to begin after the planned upgrade to the SAP system in 2009, the deployment of the Phoenix Human Resources System to the remaining 52 courts will include additional modules such as recruitment, performance management, personnel cost planning, and e-learning.	Jan 2009
The project’s Blueprint Phase was completed in preparation for the SAP software upgrade from version 4.7 to 6.0 in collaboration with court staff.	Mar 2009
The testing and development for the planned statewide software upgrade was completed.	Apr 2009
The Phoenix System software was successfully upgraded in the six courts using the Phoenix Human Resources System, migrating from SAP version 4.7 to 6.0.	May 2009
Preparation for the statewide deployment of the Phoenix Human Resources System continues. The Global Blueprint phase determines the manner in which the payroll system will be designed and implemented in each of the remaining 51 courts based on the system requirements gathered as part of the extensive planning process. The recent budget reductions have had a significant impact on this critical step, but rather than ceasing the effort completely the Phoenix Program has slowed momentum and extended project completion to future fiscal years, contingent on the availability of resources.	Jul 2009
The Phoenix Human Resources System was initiated in the Superior Court of San Bernardino County. The AOC was approached by the court regarding implementation of the payroll system after receiving notification from San Bernardino County that it would no longer provide the court with payroll services for approximately 1,200 employees. Implementation efforts began in August, and the Trial Court Administrative Services Division anticipates payroll activities to begin in June 2010.	Aug 2009

Accomplishment	Date Completed
The Phoenix Maintenance and Operations Stabilization project was launched. The staff of the Phoenix Program collaborated with the six courts already on the system to carry out the redesign of specific technical elements of existing payroll, benefits, and time management functions to ensure the creation of a more stable Human Capital Management (HCM) system with the goal of enhanced flexibility and automation statewide.	Dec 2009
Refinement of the SAP database, comprising information about trial court bargaining contracts and other similar data, continues. Staff will develop additional reports that can be extracted from the database as management tools.	Jan 2010
The Phoenix Steering Committee reached consensus on a number of guidelines for best practices that have an impact on financial and payroll matters. The finalized best practices were shared with the trial courts over the next few months.	Jan 2010
The Phoenix HR System pilot for implementation of the HR system continued in the Superior Court of San Bernardino County. Program staff continued to configure the system according to the business rules necessary to support the day-to-day operations in the court. The system configuration is 50 percent complete.	Feb 2010
The Phoenix Program launched an initiative to further assist the courts in the area of benefits administration. An online benefits enrollment function will be added to the Phoenix Employee Self-Service (ESS) portal to assist court HR staff in administering qualified life and work events in compliance with federal regulations.	Mar 2010
The AOC completed redesign of specific technical elements of existing payroll, benefits, and time management functions, with the goal of enhanced flexibility and automation in the Phoenix HR System.	Mar 2010
Preparation and testing for the implementation of the Phoenix HR System in the Superior Court of San Bernardino County were successfully completed.	May 2010
The Phoenix Program's Education Support Unit completed the Personnel Administration for Administrators and HR Analysts training for the Superior Court of San Bernardino County in anticipation of their Phoenix HR System launch. Additional training sessions on the payroll attributes of the system were conducted for 1,100 court staff through August 2010.	Jun 2010
Parallel testing was successfully completed in the Superior Court of San Bernardino County. The Phoenix System and the court's legacy system were tested within the same time frame using the same data to ensure that no discrepancies existed in any of the payroll configurations.	Jun 2010
The Phoenix Program implemented a number of improvements within the SAP application for the Phoenix System, reconfiguring the HR component by incorporating the redesign of specific technical elements with the goal of enhancing flexibility and automation uniformly among the courts on the system.	Jul 2010

Accomplishment	Date Completed
<p>Before the launch of the Phoenix HR System, Superior Court of San Bernardino County system users engaged in user acceptance testing to determine that the system meets all mutually agreed upon requirements. This testing was successfully completed.</p>	<p>Jul 2010</p>
<p>Phoenix Program staff collaboratively worked with court staff to successfully and seamlessly implement the Phoenix HR System in the Superior Court of San Bernardino County. A total of seven courts benefit from a fully integrated financial and human resources management system. The configuration utilized for the implementation at San Bernardino will serve as a blueprint for any future deployments made to the courts.</p>	<p>Aug 2010</p>
<p>The AOC previously manually logged directly into the CalPERS ACES system to upload and otherwise send data directly for payroll reporting. The ACES system has been decommissioned. A set of myCalPERS interfaces will automate data transfer between the Phoenix System and the new myCalPERS system. All technical automation components were deployed November 2011 along with retirement file extraction for four (4) Phoenix payroll courts.</p>	<p>Oct 2011</p>
<p>The Phoenix functional and technical teams collaborated on identification, testing, and implementation of appropriate critical year-end updates, including last-minute changes dictated by the Temporary Payroll Tax Cut Continuation Act of 2011. Implementation of these updates made it possible to process court employee payrolls with the most current reduced tax rates rather than wait to correct deductions in future payrolls, as the State Controller's Office was unfortunately forced to do.</p>	<p>Dec 2011</p>
<p>The Phoenix Program established the Phoenix Payroll Advisory Working Group that includes the court executive and human resources officers of the seven courts currently on the Phoenix HR System. This group meets monthly to discuss any proposed Phoenix HR System modifications in the interest of fully understanding the overall effect and impact any implemented change may have on each court. The Phoenix Payroll Advisory Working Group also reviews and comments on Best Practices for HR processing in the Phoenix System.</p>	<p>Jan 2011</p>
<p>Phoenix staff worked with executives of the Phoenix Steering Committee, and the Phoenix Human Resources courts' working group to compile a set of Best Practice Guidelines for administration of certain human resources and payroll functions. These guidelines have helped to cement a common understanding of these functions from administrative and legal points of view, and will assist Phoenix with explanations of these common problem areas as the Phoenix Human Resources/Payroll System is deployed to remaining trial courts. The Best Practice Guidelines are available on the judicial branch website and will be continually updated and improved as appropriate.</p>	<p>Mar 12</p>

Accomplishment	Date Completed
Phoenix myCalPERS development effort was completed. Interfaces with myCalPERS for employee retirement, 457 savings plans and the Judges' Retirement System for courts that are currently using the Phoenix Human Resources/Payroll System are now live. Work with trial courts and CalPERS on the remaining conversion issues has been completed. Transition assistance to courts that subscribe to CalPERS but are not yet on the Phoenix Human Resources/Payroll System is being provided.	June 2012

Funding

The Phoenix Program is or has been funded by the Judicial Administration Efficiency and Modernization Fund, the Trial Court Improvement Fund, the State Trial Court Improvement and Modernization Fund, the Trial Court Trust Fund, the state General Fund, and reimbursements from the trial courts.

Challenges Facing the Phoenix Program

Due to reductions to the judicial branch budget in recent years and other budget priorities, the planned deployment of the Phoenix Human Resources System to the remaining 51 trial courts, originally scheduled to be completed by 2013, was suspended in May 2010. The deployment suspension has required courts that had planned to use Phoenix Human Resources services instead find alternative solutions for their human resources and payroll needs.

Total CCMS and Phoenix Program Funding and Expenses to Date

Attached are a series of tables identifying and describing expenditures to date for the CCMS program, as well as a similar table for the Phoenix program. Each of the attachments is preceded by a title page and short explanation of its contents.

Attachment 1

California Court Case Management System (CCMS) Project, Ongoing Programs and Services, and Interim Case Management System Funding and Expenses

This attachment consists of four tables—a high-level summary table and three detail tables, as described below—that reflect funding and expenses through fiscal year 2011–2012 related to the CCMS program.

Attachment 1A, *California Court Case Management System (CCMS) Project, Ongoing Programs and Services, and Interim Case Management System Funding and Expenses*, provides a summary of the CCMS program funding and expenses, including costs incurred by the trial courts through FY 2011–2012, detailed in Attachments 1B, 1C, and 1D.

Attachment 1B, *California Court Case Management System (CCMS) Project Expenses*, summarizes the expenses, including costs incurred by the trial courts, related to CCMS projects through FY 2011–2012.

Attachment 1C, *Ongoing Program and Services Expenses*, summarizes the expenses, including costs incurred by the trial courts, related to ongoing CCMS programs and services through FY 2011–2012.

Attachment 1D, *Interim Case Management System Expenses*, summarizes the expenses, including costs incurred by the trial courts, related to the interim case management systems through FY 2011–2012.

California Court Case Management System (CCMS)
Project, Ongoing Programs and Services, and Interim Case Management System
Funding and Expenses
(FY 2002-2003 through FY 2011-2012)

	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
FUND SOURCES											
General Fund	\$ -	\$ 4,499,992	\$ 265,729	\$ 238,366	\$ 301,156	\$ 309,067	\$ 266,732	\$ 1,216,646	\$ 483,250	\$ 290,632	\$ 7,871,570
Modernization Fund	-	4,364,781	13,198,412	2,549,915	11,133,122	8,651,394	13,209,416	18,685,848	142	-	\$ 71,793,030
Trial Court Trust Fund	20,516,563	-	-	-	50,000,000	-	19,674,138	24,845,839	51,312,869	25,354,222	\$ 191,703,631
Trial Court Improvement Fund	-	1,447,738	4,494,679	24,121,932	39,162,716	73,026,650	32,620,875	19,266,202	2,719,927	1,437	\$ 196,862,157
Development Vendor Delay Cost Reimbursement	-	-	-	-	-	-	-	-	-	(16,000,000)	\$ (16,000,000)
Trial Court Reimbursements (state expenses reimbursed by courts)	-	-	200,000	1,647,987	3,948,790	3,396,790	1,875,435	1,878,995	1,314,947	1,314,947	\$ 15,577,890
Trial Court Expenditures (court expenses not reimbursed by state)	-	-	-	20,760,508	20,590,630	8,080,415	190,654	-	6,032,570	4,126,796	\$ 59,781,573
TOTAL FUNDING	\$ 20,516,563	\$ 10,312,511	\$ 18,158,820	\$ 49,318,708	\$ 125,136,415	\$ 93,464,316	\$ 67,837,249	\$ 65,893,530	\$ 61,863,705	\$ 15,088,033	\$ 527,589,851
EXPENDITURES											
CCMS Project Costs											
Civil, Small Claims, Probate, MH Development & Deployment	\$ 11,694,435	\$ 8,198,699	\$ 14,744,964	\$ 30,596,298	\$ 21,177,607	\$ 8,080,415	\$ 190,654	\$ -	\$ -	\$ -	\$ 94,683,072
CCMS Development (Incl. Planning & Strategy)	4,285,582	1,638,143	556,999	237,791	64,781,131	48,599,380	33,178,862	43,081,672	20,608,139	1,844,843	\$ 218,812,541
Development Vendor Delay Cost Reimbursement	-	-	-	-	-	-	-	-	-	(16,000,000)	\$ (16,000,000)
CCMS Deployment	-	-	-	-	-	-	-	3,681,676	9,018,066	2,414,140	\$ 15,113,883
Document Management System (DMS) Development & Deployment	-	-	-	-	-	-	-	-	-	-	\$ -
TOTAL CCMS PROJECT	\$ 15,980,017	\$ 9,836,842	\$ 15,301,963	\$ 30,834,089	\$ 85,958,739	\$ 56,679,795	\$ 33,369,516	\$ 46,763,348	\$ 29,626,206	\$ (11,741,017)	\$ 312,609,496
Ongoing Program & Services											
CCMS Maintenance & Support	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,492,460	\$ 11,187,471	\$ 13,679,931
DMS Maintenance & Support	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL OPERATIONAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,492,460	\$ 11,187,471	\$ 13,679,931
Interim CMS											
Criminal & Traffic Development & Deployment	\$ 4,433,993	\$ 475,669	\$ 1,390,809	\$ 4,712,923	\$ 615,768	\$ 1,600,000	\$ 1,000,000	\$ -	\$ -	\$ -	\$ 14,229,162
Criminal & Traffic Maintenance & Support	102,554	-	-	11,167,579	15,835,959	13,583,386	10,433,201	5,063,592	5,976,782	4,256,993	\$ 66,420,047
Civil, Small Claims, Probate, MH Maintenance & Support	-	-	1,466,049	2,604,117	22,725,949	21,601,136	23,034,532	14,066,590	23,768,257	11,384,587	\$ 120,651,216
TOTAL INTERIM CMS	\$ 4,536,546	\$ 475,669	\$ 2,856,858	\$ 18,484,619	\$ 39,177,677	\$ 36,784,521	\$ 34,467,734	\$ 19,130,182	\$ 29,745,039	\$ 15,641,580	\$ 201,300,425
TOTAL CCMS PROGRAM EXPENDITURES	\$ 20,516,563	\$ 10,312,511	\$ 18,158,820	\$ 49,318,708	\$ 125,136,415	\$ 93,464,316	\$ 67,837,249	\$ 65,893,530	\$ 61,863,705	\$ 15,088,033	\$ 527,589,852

**California Court Case Management System (CCMS) Project Expenses
(FY 2002-2003 through FY 2011-2012)**

Civil, Small Claims, Probate, MH Development & Deployment	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Development	\$ 300,000	\$ 4,954,565	\$ 14,176,876	\$ 8,083,053	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 27,514,494
Interim Deployment - State funded	-	-	-	380,000	-	-	-	-	-	-	\$ 380,000
Interim Deployment - Direct pay by Trial Court	-	-	-	18,686,082	20,590,630	8,080,415	190,654	-	-	-	\$ 47,547,781
Funds Awarded to Trial Courts / Trial Court Expenses	10,469,305	2,001,692	227,148	212,099	24,569	-	-	-	-	-	\$ 12,934,814
Hosting - Support & Production Environments (CCTC)	429,400	402,884	334,704	3,235,064	562,408	-	-	-	-	-	\$ 4,964,460
Hosting - Support Environments (non-CCTC)	-	839,558	6,236	-	-	-	-	-	-	-	\$ 845,794
AOC Consultants	495,730	-	-	-	-	-	-	-	-	-	\$ 495,730
SUBTOTAL	\$ 11,694,435	\$ 8,198,699	\$ 14,744,964	\$ 30,596,298	\$ 21,177,607	\$ 8,080,415	\$ 190,654	\$ -	\$ -	\$ -	\$ 94,683,072

CCMS Development	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Development	\$ -	\$ -	\$ -	\$ -	\$ 49,249,748	\$ 37,602,290	\$ 9,997,978	\$ 17,105,822	\$ -	\$ (16,000,000)	\$ 97,955,838
Funds Awarded to Trial Courts / Trial Court Expenses	-	-	-	-	-	1,158,210	1,129,998	1,053,583	1,744,736	361,934	\$ 5,448,461
Hosting - Support & Production Environments (CCTC)	-	-	-	-	1,673,044	2,278,578	7,080,895	15,021,846	8,264,427	-	\$ 34,318,791
Hosting - Support Environments (non-CCTC)	-	-	-	-	10,001,350	1,252,727	4,780,127	1,903,901	-	-	\$ 17,938,105
Hardware & Software (non-CCTC)	-	-	-	-	-	-	-	-	933,339	8,750	\$ 942,089
AOC Consultants	4,285,582	1,558,473	306,270	-	1,945,934	3,398,336	5,710,346	3,851,736	3,535,366	149,370	\$ 24,741,413
AOC Staff	-	79,670	250,729	237,791	1,911,055	2,909,239	4,479,518	4,144,783	4,244,786	677,737	\$ 18,935,307
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Staff	-	-	-	-	-	-	-	-	1,846,587	634,313	\$ 2,480,900
Project Governance	-	-	-	-	-	-	-	-	38,898	12,739	\$ 51,637
SUBTOTAL	\$ 4,285,582	\$ 1,638,143	\$ 556,999	\$ 237,791	\$ 64,781,131	\$ 48,599,380	\$ 33,178,862	\$ 43,081,672	\$ 20,608,139	\$ (14,155,157)	\$ 202,812,541

CCMS Deployment	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
CCMS Deployment Vendor	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,000,000	\$ 393,280	\$ -	\$ 3,393,280
Technical Training	-	-	-	-	-	-	-	694	-	-	\$ 694
Funds Awarded to Trial Courts	-	-	-	-	-	-	-	-	4,000,000	-	\$ 4,000,000
Hosting - Deployment Specific Environments (CCTC)	-	-	-	-	-	-	-	-	887,614	684,958	\$ 1,572,573
AOC Consultants	-	-	-	-	-	-	-	148	2,114,345	992,963	\$ 3,107,456
AOC Staff	-	-	-	-	-	-	-	680,834	1,508,141	714,689	\$ 2,903,664
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Staff	-	-	-	-	-	-	-	-	114,686	21,530	\$ 136,216
Project Governance	-	-	-	-	-	-	-	-	-	-	\$ -
Contingency	-	-	-	-	-	-	-	-	-	-	\$ -
SUBTOTAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,681,676	\$ 9,018,066	\$ 2,414,140	\$ 15,113,883

Document Management System (DMS) Development & Deployment	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Hardware	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Software Licenses	-	-	-	-	-	-	-	-	-	-	\$ -
Hosting - Support & Production Environments (CCTC)	-	-	-	-	-	-	-	-	-	-	\$ -
Hosting - Support Environments (non-CCTC)	-	-	-	-	-	-	-	-	-	-	\$ -
AOC Consultants	-	-	-	-	-	-	-	-	-	-	\$ -
AOC Staff	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Staff	-	-	-	-	-	-	-	-	-	-	\$ -
SUBTOTAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

TOTAL CCMS PROJECT	\$ 15,980,017	\$ 9,836,842	\$ 15,301,963	\$ 30,834,089	\$ 85,958,739	\$ 56,679,795	\$ 33,369,516	\$ 46,763,348	\$ 29,626,206	\$ (11,741,017)	\$ 312,609,496
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**Ongoing Program and Services Expenses
(FY 2002-2003 through FY 2011-2012)**

CCMS Maintenance & Support	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Support - Vendor	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Software Releases	-	-	-	-	-	-	-	-	1,548,000	-	1,548,000
IS Trial Court Expenses	-	-	-	-	-	-	-	-	-	-	-
Hosting - Production & Staging Environments (CCTC)	-	-	-	-	-	-	-	-	-	-	-
Hosting - Support & Production Environments (CCTC)	-	-	-	-	-	-	-	-	-	5,879,594	5,879,594
Hosting - Support Environments (non-CCTC)	-	-	-	-	-	-	-	-	944,460	323,494	1,267,954
Hardware & Software (non-CCTC)	-	-	-	-	-	-	-	-	-	881,079	881,079
AOC Consultants	-	-	-	-	-	-	-	-	-	829,620	829,620
AOC Staff	-	-	-	-	-	-	-	-	-	3,273,684	3,273,684
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	-	-	-
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	-
Trial Court Staff	-	-	-	-	-	-	-	-	-	-	-
TOTAL ONGOING PROGRAMS & SERVICES	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,492,460	\$ 11,187,471	\$ 13,679,931

Document Management System (DMS) Maintenance & Support	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Support - Vendor	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Hosting - Support & Production Environments (CCTC)	-	-	-	-	-	-	-	-	-	-	-
Hosting - Support Environments (non-CCTC)	-	-	-	-	-	-	-	-	-	-	-
Software Maintenance (non-CCTC)	-	-	-	-	-	-	-	-	-	-	-
AOC Consultants	-	-	-	-	-	-	-	-	-	-	-
AOC Staff	-	-	-	-	-	-	-	-	-	-	-
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	-	-	-
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	-
Trial Court Staff	-	-	-	-	-	-	-	-	-	-	-
SUBTOTAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

TOTAL ONGOING PROGRAMS & SERVICES	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,492,460	\$ 11,187,471	\$ 13,679,931
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**Interim Case Management System Expenses
(FY 2002-2003 through FY 2011-2012)**

Criminal & Traffic Development & Deployment	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Development	1,458,584	-	1,403,824	-	-	-	-	-	-	-	2,862,408
Interim Deployment - State funded	-	-	-	2,670,793	438,163	-	-	-	-	-	3,108,956
Interim Deployment - Direct pay by Trial Court	-	-	-	2,074,426	-	-	-	-	-	-	2,074,426
Funds Awarded to Trial Courts / Trial Court Expenses	2,755,442	-	-	-	175,404	1,600,000	1,000,000	-	-	-	5,530,846
Hosting - Support & Production Environments (CCTC)	221,206	90,795	25,477	-	-	-	-	-	-	-	337,479
Hosting - Support Environments (non-CCTC)	-	397,575	-	-	-	-	-	-	-	-	397,575
Prior Year Adjustments	(1,239)	(12,701)	(38,492)	(32,296)	2,201	-	-	-	-	-	(82,528)
SUBTOTAL	4,433,993	475,669	1,390,809	4,712,923	615,768	1,600,000	1,000,000	-	-	-	14,229,162

Criminal & Traffic Maintenance & Support	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Support - Vendor	-	-	-	2,560,647	6,250,283	7,134,000	3,913,507	-	-	-	19,858,437
Software Releases	\$ -	\$ -	\$ -	4,682,399	\$ 4,447,155	\$ 2,795,628	\$ 194,350	\$ -	\$ -	\$ -	\$ 12,119,532
Hosting - Support & Production Environments (CCTC)	-	-	-	2,523,937	4,443,058	2,644,844	3,120,501	2,008,360	2,524,357	1,292,507	\$ 18,557,564
Hosting - Support Environments (non-CCTC)	-	-	-	1,012,586	551,976	630,000	661,584	-	-	-	\$ 2,856,146
AOC Consultants	102,554	-	-	47,498	-	244,888	2,318,245	2,477,731	3,093,136	2,437,534	\$ 10,721,585
AOC Staff	-	-	-	340,513	143,487	134,026	225,014	577,502	356,467	526,698	\$ 2,303,706
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Staff	-	-	-	-	-	-	-	-	2,823	254	\$ 3,077
SUBTOTAL	\$ 102,554	\$ -	\$ -	\$ 11,167,579	\$ 15,835,959	\$ 13,583,386	\$ 10,433,201	\$ 5,063,592	\$ 5,976,782	\$ 4,256,993	\$ 66,420,047

Civil, Small Claims, Probate, MH Maintenance & Support	FY 2002-03	FY 2003-04	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	FY 2009-10	FY 2010-11	FY 2011-12	Total
Support - Vendor	\$ -	\$ -	\$ -	\$ -	\$ 7,451,368	\$ 9,612,600	\$ 12,830,204	\$ 8,172,393	\$ 8,780,160	\$ -	\$ 46,846,725
Software Releases	-	-	-	155,111	2,631,872	3,486,961	-	-	-	-	\$ 6,273,944
Hosting - Support & Production Environments (CCTC)	-	-	-	-	10,536,429	6,860,264	8,090,355	3,879,913	4,511,984	3,168,237	\$ 37,047,182
Hosting - Support Environments (non-CCTC)	-	-	-	-	1,855,178	1,305,000	1,441,308	1,312,545	1,085,500	-	\$ 6,999,531
AOC Consultants	-	-	1,466,049	2,221,422	-	-	282,465	205,369	3,901,321	3,341,243	\$ 11,417,870
AOC Staff	-	-	-	227,584	251,103	336,310	390,200	496,370	1,420,817	1,404,407	\$ 4,526,791
Trial Court Hardware & Software	-	-	-	-	-	-	-	-	1,487,726	1,077,718	\$ 2,565,444
Trial Court Consultants	-	-	-	-	-	-	-	-	-	-	\$ -
Trial Court Staff	-	-	-	-	-	-	-	-	2,580,748	2,392,981	\$ 4,973,729
SUBTOTAL	\$ -	\$ -	\$ 1,466,049	\$ 2,604,117	\$ 22,725,949	\$ 21,601,136	\$ 23,034,532	\$ 14,066,590	\$ 23,768,257	\$ 11,384,587	\$ 120,651,216

TOTAL INTERIM CMS	\$ 4,536,546	\$ 475,669	\$ 2,856,858	\$ 18,484,619	\$ 39,177,677	\$ 36,784,521	\$ 34,467,734	\$ 19,130,182	\$ 29,745,039	\$ 15,641,580	\$ 201,300,425
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Attachment 2

CCMS Expenditure Line Item Definitions

This attachment provides descriptions for each expenditure line item included in Attachment 1, *California Court Case Management System (CCMS) Project, Ongoing Programs and Services, and Interim Case Management System Funding and Expenses.*

Criminal & Traffic CMS

Criminal & Traffic Development & Deployment	Description
Development	Cost for initial development Statement of Work (SOW).
Interim Deployment - State funded	Deployment activities for interim CMS funded by the AOC.
Interim Deployment - Direct pay by Trial Court	Deployment activities for interim CMS paid directly to deployment vendor by the Trial Courts.
Funds Awarded to Trial Courts / Trial Court Expenses	Funds awarded to courts and court expenses related to participation in development of the product paid by AOC.
Hosting - Support & Production Environments (CCTC)	Initial environment development cost used for testing, training, and production environments at the California Courts Technology Center (CCTC).
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities prior to product acceptance.
Prior Year Adjustments	

Criminal & Traffic Maintenance & Support	Description
Support - Vendor	Maintenance and support provided by vendors (e.g. BearingPoint, Deloitte, Sybase).
Software Releases	Statements of Work (SOW) for product enhancements, legislative changes, etc.
Hosting - Support & Production Environments (CCTC)	Hardware and software maintenance, hosting fees for CCTC.
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities after product acceptance.
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.

Civil, Small Claims, Probate, & Mental Health CMS

Civil, Small Claims, Probate, MH Development & Deployment	Description
Development	Cost for initial development Statement of Work (SOW).
Interim Deployment - State funded	Deployment activities for interim CMS funded by the AOC.
Interim Deployment - Direct pay by Trial Court	Deployment activities for interim CMS paid directly to deployment vendor by the trial courts.
Funds Awarded to Trial Courts / Trial Court Expenses	Funds awarded to courts and court expenses related to participation in development of the product.
Hosting - Support & Production Environments (CCTC)	Cost for initial development of environments used for testing, training, and production located at the CCTC.
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities prior to product acceptance.
AOC Consultants	Consultants for project management, product support, documentation, procurement processes, and legal services.

Civil, Small Claims, Probate, MH Maintenance & Support	Description
Support - Vendor	Maintenance and support provided by vendors (e.g. BearingPoint, Deloitte, Sybase).
Software Releases	SOWs for product enhancements, legislative changes, etc.
Hosting - Support & Production Environments (CCTC)	Hardware and software maintenance, hosting fees for CCTC.
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities after product acceptance (prior to ISD transition).
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.

California Court Case Management System (CCMS)

CCMS Development (Incl. Planning & Strategy)	Description
Development	Cost for initial development Statement of Work (SOW).
Funds Awarded to Trial Courts / Trial Court Expenses	Funds awarded to courts and court expenses related to participation in development of the product.
Hosting - Support & Production Environments (CCTC)	Cost for initial development of environments used for testing, training, and production located at the CCTC.
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities prior to product acceptance.
Hardware & Software (non-CCTC)	Hardware and software maintenance for environments at vendor facilities prior to product acceptance.
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.
Project Governance	Cost associated with CCMS Governance Committees including the cost of materials and expenses for committee member participation.

CCMS Deployment	Description
CCMS Deployment Vendor	Contracts with vendors for discrete statements of work or deliverables and contractors required for a fixed-term.
Technical Training	Trial court and user group training to support deployment activities (not CCMS application training).
Funds Awarded to Trial Courts	Funds awarded to courts for court expenses related to participation in deployment of the product.
Hosting - Deployment Specific Environments (CCTC)	Hosting environment costs and other infrastructure spend including hardware and software purchases
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.
Project Governance	Cost associated with CCMS Governance Committees including the cost of materials and expenses for committee member participation.
Contingency	Consistent with industry standards, calculated percentage of contract costs to address potential changes in scope or cost.

CCMS Maintenance & Support	Description
Support - Vendor	Maintenance and support provided by vendors (e.g. BearingPoint, Deloitte, Sybase).
Software Releases	SOWs for product enhancements, legislative changes, etc.
IS Trial Court Expenses	Miscellaneous court expenses related to participation in development of the product.
Hosting - Production & Staging Environments (CCTC)	Hardware and software maintenance, hosting fees for CCTC for production environments after court is deployed.
Hosting - Support & Production Environments (CCTC)	Hardware and software maintenance, hosting fees for CCTC for development environments.
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities after product acceptance.
Hardware & Software (non-CCTC)	Hardware and software maintenance for environments at vendor facilities prior to product acceptance.
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.

Document Management System (DMS)

Document Management System (DMS) Development & Deployment	Description
Hardware	Hardware for the deployment of the DMS.
Software Licenses	Licenses for the procurement of a document management application.
Hosting - Support & Production Environments (CCTC)	Hardware and software maintenance, hosting fees for CCTC
Hosting - Support Environments (non-CCTC)	Hosting fees for vendor facilities.
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.
Document Management System (DMS) Maintenance & Support	Description
Support - Vendor	Maintenance and support provided by vendors.
Hosting - Support & Production Environments (CCTC)	Hardware and software maintenance, hosting fees for CCTC.
Hosting - Support Environments (non-CCTC)	Hardware and software maintenance, hosting fees for vendor facilities after product acceptance.
Software Maintenance (non-CCTC)	Hardware and software maintenance for environments at vendor facilities.
AOC Consultants	Consultants for project management, product support, documentation, coding, testing, troubleshooting, etc.
AOC Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent.
Trial Court Hardware & Software	Hardware and software maintenance for environments at court or court-contracted facilities not reimbursed by the state.
Trial Court Consultants	Consultants for project management, product support, etc. not reimbursed by the state.
Trial Court Staff	Staff includes salaries, benefits, operating expenses & equipment, and rent not reimbursed by the state.

Attachment 3

Phoenix Human Resources and Financial Services Revenue and Expenses

This attachment summarizes Phoenix program revenues and expenses to date as well as projected expenditures through FY 2013–2014. Estimates reflect the full deployment of the Phoenix Financial System in 58 superior courts and full deployment of the Phoenix Human Resources System in 7 courts.

**Phoenix Human Resources and Financial Services Revenue and Expenses
Through FY 2013–2014 (Estimated for FY 2012–2013 and FY 2013–2014)¹**

FUND SOURCES											Subtotal, FY 2000-01
Fund Allocations	FY 2000–01	FY 2001–02	FY 2002–03	FY 2003–04	FY 2004–05	FY 2005–06	FY 2006–07	FY 2007–08	FY 2008–09		through FY 2008-09
General Fund	\$ 109,256	\$ 639,450	\$ 1,774,488	\$ 5,646,640	\$ 2,594,877	\$ 3,590,099	\$ 2,344,864	\$ 3,461,267	\$ 2,561,627	\$	22,722,569
Modernization Fund	116,865	1,618,242	2,436,594	600,582	4,135,487	2,735,201	23,169	4,124,284	2,944,504		18,734,927
Trial Court Improvement Fund	-	-	1,275,000	2,142,479	780,730	2,589,879	8,575,439	23,336,617	10,584,036		49,284,180
State Trial Court Improvement and Modernization Fund	-	-	-	-	-	-	-	-	-		-
Trial Court Trust Fund	-	-	-	-	-	1,309,669	-	5,243,157	12,208,194		18,761,020
Trial Court Reimbursements (state expenses reimbursed by courts)	-	-	-	-	1,869,815	1,686,716	4,790,112	7,135,877	8,556,019		24,038,539
Trial Court Expenditures (court expenses not reimbursed by state)	-	-	-	-	-	-	-	-	-		-
TOTAL FUNDING	\$ 226,121	\$ 2,257,692	\$ 5,486,082	\$ 8,389,701	\$ 9,380,909	\$ 11,911,564	\$ 15,733,584	\$ 43,301,202	\$ 36,854,380	\$	133,541,235
EXPENDITURES											
AOC Administration and M&O Staff	\$ 15,656	\$ 419,021	\$ 862,808	\$ 991,617	\$ 1,028,140	\$ 3,090,099	\$ 1,844,864	\$ 4,093,350	\$ 3,676,747	\$	16,022,303
AOC ISD ERP/User Technical Support Staff	93,600	112,320	219,030	500,000	465,000	659,448	1,005,332	1,277,744	1,917,234		6,249,708
AOC Shared Services Center Staff	-	108,109	692,650	971,159	2,513,953	2,658,866	4,711,244	7,385,649	8,307,925		27,349,554
AOC AUPR/Internal Audit Staff	-	-	-	94,000	100,000	150,000	-	-	-		344,000
Subtotal, AOC Staff	\$ 109,256	\$ 639,450	\$ 1,774,488	\$ 2,556,776	\$ 4,107,093	\$ 6,558,413	\$ 7,561,440	\$ 12,756,743	\$ 13,901,906	\$	49,965,565
Trial Court Hardware & Software	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$	-
Trial Court Consultants	-	-	-	-	-	-	-	-	-	\$	-
Trial Court Staff	-	-	-	-	-	-	-	-	-	\$	-
AOC Consultants	116,865	1,457,694	3,447,332	5,281,042	3,336,486	3,834,805	7,628,894	26,300,099	20,759,538	\$	72,162,755
SAP licenses, hardware, maintenance, tech center support, and end-user training	-	160,548	264,262	551,883	1,937,330	1,518,346	543,250	4,244,360	2,192,935		11,412,915
TOTAL EXPENDITURES	\$ 226,121	\$ 2,257,692	\$ 5,486,082	\$ 8,389,701	\$ 9,380,909	\$ 11,911,564	\$ 15,733,584	\$ 43,301,202	\$ 36,854,380	\$	133,541,235

1 Expenditures and funding prior to FY 2007-2008 reflect Phoenix Financial System (CARS) costs solely.

2 Fund source is subject to modification.

3 Fund source and amount is subject to modification.

**Phoenix Human Resources and Financial Services Revenue and Expenses
Through FY 2013–2014 (Estimated for FY 2012–2013 and FY 2013–2014)¹**

FUND SOURCES	Subtotal, FY 2000-01				Estimated		Estimated		
Fund Allocations	through FY 2008-09	FY 2009–10	FY 2010–11	FY 2011–12	FY 2012–13²	FY 2013–14³	Total		
General Fund	\$ 22,722,569	\$ 8,959,484	\$ 5,878,097	\$ 5,532,879	\$ 4,519,987	\$ 4,519,987	\$	52,133,003	
Modernization Fund	18,734,927	-	530,000	755,540	-	-	\$	20,020,467	
Trial Court Improvement Fund	49,284,180	10,841,032	7,274,930	5,671,158	-	-	\$	73,071,299	
State Trial Court Improvement and Modernization Fund	-	-	-	-	6,758,000	6,758,000	\$	13,516,000	
Trial Court Trust Fund	18,761,020	4,657,863	5,000	50,000	10,000	-	\$	23,483,883	
Trial Court Reimbursements (state expenses reimbursed by courts)	24,038,539	8,224,564	7,782,975	7,396,660	8,193,000	8,193,000	\$	63,828,737	
Trial Court Expenditures (court expenses not reimbursed by state)	-	-	48,665	30,108	30,108	30,108	\$	138,988	
TOTAL FUNDING	\$ 133,541,235	\$ 32,682,943	\$ 21,519,667	\$ 19,436,344	\$ 19,511,095	\$ 19,501,095	\$	\$ 246,192,378	
EXPENDITURES									
AOC Administration and M&O Staff	\$ 16,022,303	\$ 3,791,453	\$ 2,998,085	\$ 3,354,093	\$ 3,354,093	\$ 3,354,093	\$	32,874,119	
AOC ISD ERP/User Technical Support Staff	6,249,708	1,598,003	1,572,113	1,519,877	1,814,874	1,814,874	\$	14,569,449	
AOC Shared Services Center Staff	27,349,554	8,224,563	7,782,975	7,396,660	8,193,000	8,193,000	\$	67,139,752	
AOC AUPR/Internal Audit Staff	344,000	-	-	-	-	-	\$	344,000	
Subtotal, AOC Staff	\$ 49,965,565	\$ 13,614,019	\$ 12,353,173	\$ 12,270,630	\$ 13,361,967	\$ 13,361,967	\$	\$ 114,927,321	
Trial Court Hardware & Software	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$	-	
Trial Court Consultants	\$ -	\$ -	12,506	-	-	-	\$	12,506	
Trial Court Staff	\$ -	\$ -	36,159	30,108	30,108	30,108	\$	126,482	
AOC Consultants	\$ 72,162,755	\$ 17,269,614	\$ 4,030,362	1,435,200	1,840,800	1,840,800	\$	98,579,531	
SAP licenses, hardware, maintenance, tech center support, and end-user training	11,412,915	1,799,310	5,087,467	5,700,406	4,278,220	4,278,220	\$	32,556,538	
TOTAL EXPENDITURES	\$ 133,541,235	\$ 32,682,943	\$ 21,519,667	\$ 19,436,344	\$ 19,511,095	\$ 19,511,095	\$	\$ 246,202,377	

1 Expenditures and funding prior to FY 2007-2008 reflect Phoenix Financial System (CARS) costs solely.

2 Fund source is subject to modification.

3 Fund source and amount is subject to modification.