

The background features a large, faint seal of the Council of Superior Courts of California, Alameda County. The seal is circular and contains the text "COUNCIL OF SUPERIOR COURTS OF CALIFORNIA" around the top and "ALAMEDA COUNTY" around the bottom. In the center, there is a figure holding a scale of justice, with a ship and a plow below. The year "1920" is visible at the bottom of the seal.

Audit of the Superior Court of California, County of Alameda

Hon. Richard D. Huffman, Chair, Advisory Committee on Financial Accountability and Efficiency for the Judicial Branch (A&E Committee)

Mr. John A. Judnick, Internal Audit Services

Ms. Pat Sweeten, Executive Officer (ret.), Superior Court of Alameda County

A&E Committee

Duties regarding audit reports:

- Review all audit reports for the Judicial Branch.
- Where appropriate, make recommendations on individual or systemic issues for the Judicial Council's consideration at the time it receives and considers audit reports.

A&E Committee

See A&E Committee comments on page 2 of the Judicial Council report.

- A&E Committee is presenting for discussion **one specific issue** identified in the audit report of Alameda Superior Court.
- Presentation should not be considered a 'criticism of the Court' but a 'lessons learned' for the benefit of other courts. **Issue 6.1 starting on pg. 28 of audit report.**

A&E Committee

Existence of technical industry guidelines and State requirements necessary to comply with an information technology (IT) project.

- Superior courts are not required to comply with the State requirements concerning an IT project at this time. (Refer to GC 68511.9 for projects over \$5M on next slide.)
- Industry guidelines and standards should be followed for proper management and control of an IT project.

Guidelines, Standards and Requirements

Many courts are probably unaware of the specialized guidelines, standards, and requirements.

- Notice and informational/documentation requirement under Government Code section 68511.9 for all administrative and infrastructure information technology **projects** of the Council or the courts with **total costs estimated** at more than **\$5 million**.

Guidelines, Standards and Requirements

- Project management standards (“PMBOK”) issued by the Project Management Institute.
- Standard system development life cycle (SDLC) standards and guidelines:
 - Institute of Electrical and Electronics Engineers, Inc. (IEEE)
 - *15288-2004 - IEEE Standard for Systems engineering -- System life cycle processes*
 - *1012-2012 - IEEE Standard for System and Software Verification and Validation*
 - State Department of Finance (DOF)
 - *Information Technology Project Oversight Framework*
 - The California Technology Agency (CTA)
 - *Project Management Methodology Reference Manual*

5 Basic Stages in a SDLC

1. Concept

- Define need
- Produce a **Concept Statement**
- Supporting documentation: Feasibility study (FSR) and cost estimates (EAW)
- Costs estimates include **all costs** associated with the project including **estimates of internal court and justice partner costs**

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5 Basic Stages in a SDLC

2. Project Initiation

- Authorize and define the scope of the project.
- Defines business case, purpose and business objectives
- **Project Charter** is major output
- Verification and validation analysis / determination / acquisition
- Determine if any conflicts of interest exist and document results.

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5 Basic Stages in a SDLC

3. Project Planning

- Define and mature the project scope, develop the project management plan, identify and schedule project activities.
- **Project Management Plan** is major output document.
 - Governance and mgmt. framework
 - Oversight needs

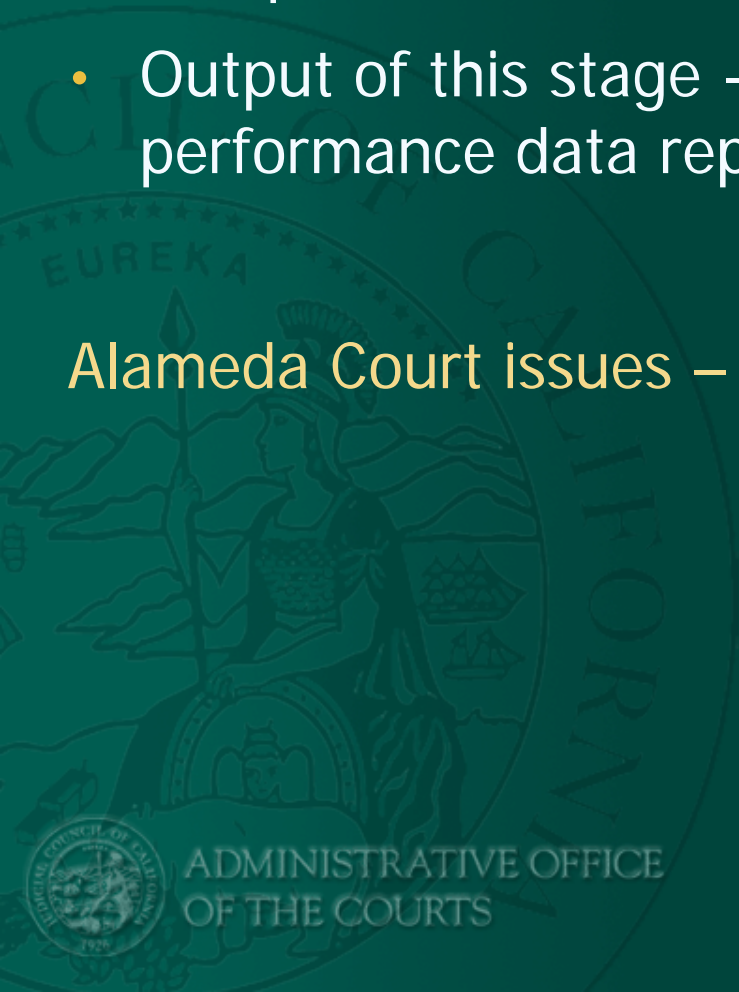
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5 Basic Stages in a SDLC

4. Project Execution

- Complete work as defined in the Project Management Plan.
- Output of this stage - agreed upon deliverables and performance data reports.

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5 Basic Stages in a SDLC

5. Closing

- Formally terminate all activities, put into production or active status.
- Prepare a **Post Implementation Evaluation Report (PIER)**. Lessons learned report.

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Lessons Learned

MS. PAT SWEETEN, EXECUTIVE OFFICER (RET.),
SUPERIOR COURT OF ALAMEDA COUNTY

THANK YOU
QUESTIONS?

